

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

- DSHS/AL TSA Human Resources Support General Contact, AL TSAHRSupport@dshs.wa.gov
- 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](#)

Background

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.

[AA3 Use of Electronic Signatures](#)

AA3 use of supervisor or manager electronic signature to sign Statements of Deficiency (SODs) and other documents requires:

1. Written authorization from the Field Manager to the AA3 that includes:
 - a. Date/time
 - b. Acknowledgement that the manager or supervisor reviewed the content and
 - c. Approved for signature by the AA3; and
2. Application of authorized digital signature to the document (not signing on behalf of).

[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:

1. Employee documents in secure, protected folders or Perceptive Content;
2. Internal documents with electronic signatures that pertain to RCS business operations in shared files or Perceptive Content; and
3. External letters or statements of deficiency with electronic signatures on internet and/or RCS or Centers for Medicare and Medicaid data systems or Perceptive Content as required.

Creating a Digitized Signature

To sign a document using Adobe Acrobat Sign:

1. Ensure you have adobe acrobat reader installed on your computer (start a helpdesk ticket if needed).
2. Sign your name in black ink in the middle of a clean, blank sheet of white paper.
3. 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.
4. 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.
5. Open the PDF.
6. 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.”



7. Choose “Select Image.”
8. Insert or apply digitized signature to the page.
9. Save and close.

B. [Acceptance of Electronic Signatures from Outside of RCS](#)

Background

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 perceptible 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](#)

Background

RCS’s electronic faxing (eFax) allows faxes to be sent and received using email. Documents faxed over email using an eFax product or service are confidential and meet “proof of service” requirements by RCS rules and statutes. The eFax confirmation serves as proof of service when evidence of fax transmission is saved. Proof of service applies to Written Consultations, Statements of Deficiency, and Enforcement Letters. Using eFax for RCS communication and delivery of documents meets the goal of efficient and effective state government.

Procedure

Sending a Fax via Email

1. Identify the Fax Number of the Recipient:
 - a. Call the provider before sending the eFax if needed to verify the number.
 - b. If Field Managers confirm the correct fax number with the provider before ending the notification call when sending Enforcement actions, share this information with the staff sending the eFax.
 - c. Field staff can request the fax number during exit conferences.
2. Create the eFax Email:
 - a. Select “New Email” in Outlook.
 - b. Populate the “TO” field of the email with the recipient fax number using the following format:
1FAXNUMBER@us.rfax.net
 - i. **Fax number:** Always begin the fax number with a 1 before the area code.
Example: 18339142984
 - ii. **eFax extension:** @us.rfax.net is required to send the eFax.
 - c. To Add Additional Recipients:
 - i. Include as many eFax addresses as necessary, either in the TO or CC fields of the email.
 - ii. Use the same format as the primary recipient when adding an additional recipient’s address:
1faxnumber@us.rfax.net.
3. 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 6 years.**
 - **Retention schedule for Enforcement eFax confirmation is 30 years.**
 - a. Subject Line: Identify what information is requested or being provided.
 - i. 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
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- Separate document names with “and”
Example: 789 12345 Shady Glen AFH SOD and Letter and ResStaffList 10-06-22
- ii. Non- Statement of Deficiency (SOD) or requests for information:
 - 1) State the purpose of the eFax in the subject line.
 - a) **Example A: Medical Record Request.**
 - b) **Example B: xxxx County Medical Examiner's Office Medical Records Request.**
 - 2) Do not include resident names in subject line.
- b. E-mail body:
 - i. 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](#)).
 - 1) Individualize the provider / representative name and RCS contact information as needed.
 - 2) Include your signature block following DSHS communication standards.
- c. Attach documents in the order listed in the subject line:
Example Order: Letter, SOD, ResStaffList
 - i. The e-mail and any attachments will be generated as a one, multi-page fax document to the recipient.
 - ii. The following file types can be sent over eFax:
 - 1) Text formats: DOC, PDF, TXT
 - 2) Spreadsheet formats: XLS(X)
 - 3) Presentation formats: PPT
 - 4) Graphic formats: JPEG, GIF, TIFF, BMP, PNG
 - 5) HTML: HTM, HTML (not JavaScript)
 - 6) Print formats: PS, PCL
- 4. Send “From” the designated fax Outlook folder.
 - a. Select or enter the email address associated with the Outlook folder.
 - b. Click “Send.”

eFax Confirmation

1. eFax confirmation email will be returned to the Outlook eFax folder.
 - a. The eFax confirmation includes the following information:
 - a. “Sent to” Fax number.
 - b. Date/Time the eFax was sent.
 - c. Remote CSID (called subscriber information) - receiving fax machine.
 - d. Duration of eFax.
 - e. 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.”
 - f. Comment – Subject Line
 - b. Verify that the confirmation says **[OK][+1xxxxxxx]** (area code and fax number).
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- a. 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.
 - c. 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.
 - d. If a provider reports a changed Fax number:
 - a. Use the changed Fax number to deliver documents; and
 - b. 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.
2. Save the eFax email confirmation.
- a. eFax confirmation related to SODs and Enforcement letters are saved in Perceptive Content following procedures outlined in [Service – Electronic Delivery](#).
 - b. eFax confirmation related to inspection work, sent by field staff, is saved with the working papers.
 - c. eFax confirmation not related to a SOD or Enforcement Letter does not need to be saved in working papers. Outlook is the document repository.

[Service – Electronic Delivery](#)

1. 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.
2. Once the eFax confirmation is sent to rcspc@dshs.wa.gov, transfer the eFax confirmation to the Outlook Fax Archive folder for each office.
3. Verify eFax confirmation presence of SOD / Enforcement in Perceptive Content.
 - a. 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.

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

About Certified Mail

The Administrative Assistant 3 (AA3) is responsible to [eFax](#) or mail signed Statement of Deficiency/Plan of Correction (SOD/POC), SOD/POC with Consultation, and Consultation letters certified with return receipt.

Procedure

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 \(CMS\)](#) “pink slip”, if needed for campus mail

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



Preparing the U.S. Postal Service (USPS) Forms and Mailing Envelope

1. 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.
2. Place documentation into the envelope (SOD/POC correspondence and Resident/Staff List, if required) and seal the envelope.
3. 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.



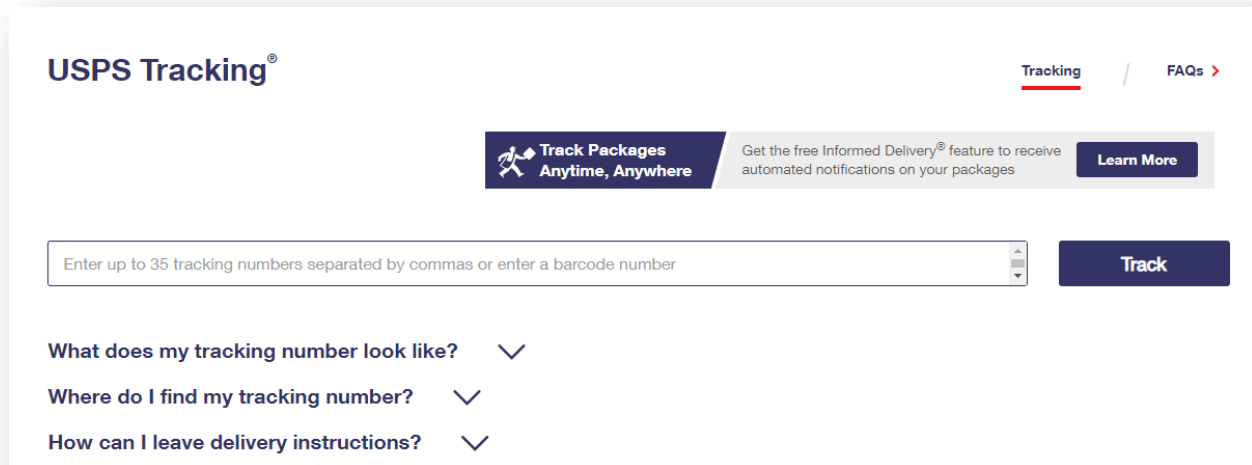
4. Mail the completed certified mailing envelope according to office outgoing mail procedures, using a CMS pink slip marked for certified mail, if applicable.

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](#).

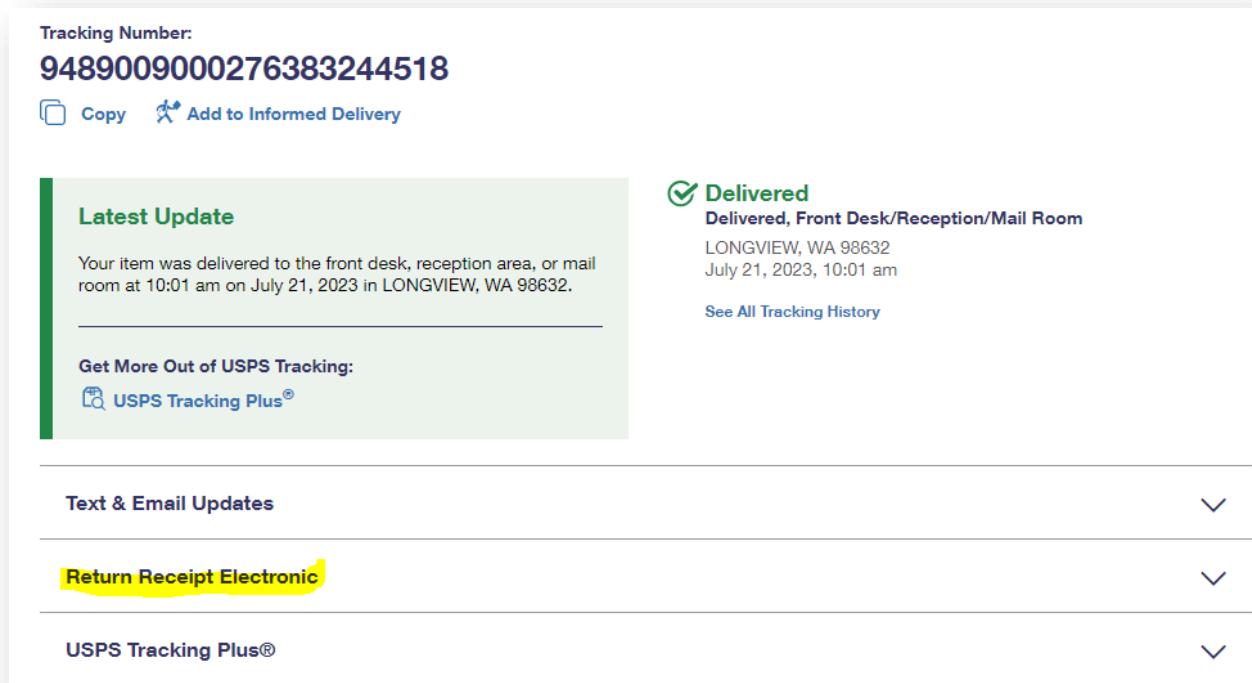
1. Log into USPS Tracking.
2. Enter Tracking Number, and press Enter or click on Track button.

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.



The image shows the USPS Tracking homepage. At the top left is the "USPS Tracking" logo. To the right are links for "Tracking" and "FAQs". Below the logo is a dark blue button that says "Track Packages Anytime, Anywhere" with a person icon. To its right is a grey box with the text "Get the free Informed Delivery® feature to receive automated notifications on your packages" and a "Learn More" button. In the center is a search input field with the placeholder text "Enter up to 35 tracking numbers separated by commas or enter a barcode number" and a "Track" button to its right. Below the search field are three expandable FAQ items: "What does my tracking number look like?", "Where do I find my tracking number?", and "How can I leave delivery instructions?".

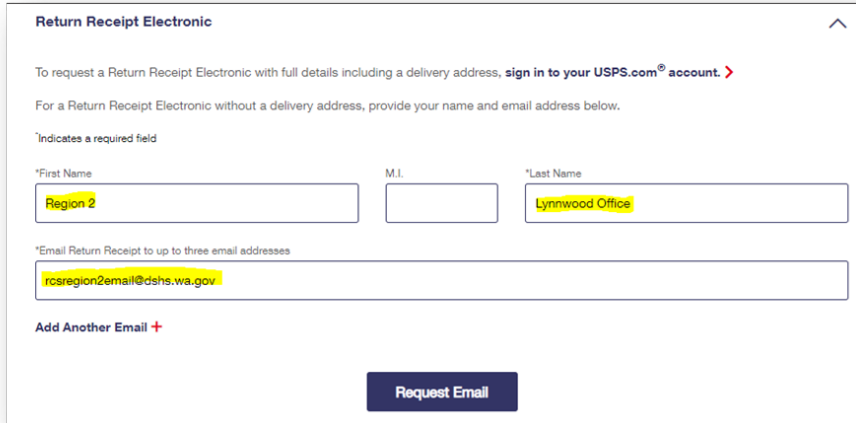
3. Scroll to the Return Receipt Electronic section.



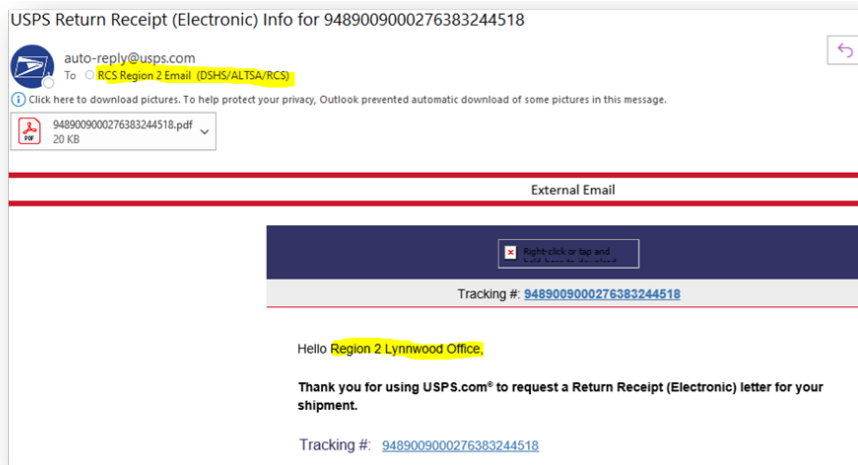
The image shows the USPS Tracking page for tracking number 9489009000276383244518. At the top, it says "Tracking Number: 9489009000276383244518" with "Copy" and "Add to Informed Delivery" options. Below this is a green box titled "Latest Update" containing the text: "Your item was delivered to the front desk, reception area, or mail room at 10:01 am on July 21, 2023 in LONGVIEW, WA 98632." To the right of this box is a green checkmark icon followed by the text "Delivered, Front Desk/Reception/Mail Room", "LONGVIEW, WA 98632", "July 21, 2023, 10:01 am", and a link "See All Tracking History". Below the green box is a section titled "Get More Out of USPS Tracking:" with a link to "USPS Tracking Plus®". At the bottom of the page are three expandable sections: "Text & Email Updates", "Return Receipt Electronic" (highlighted in yellow), and "USPS Tracking Plus®".

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4. Enter *Region* or *RCS Headquarters* in the First Name box.
5. Enter *Office Location* in the Last Name box (e.g., Vancouver Office).
6. Enter *Region Email* or *Unit Email* address in the Email Return Receipt box:
 - RCS Region 1 Email (DSHS/AL TSA/RCS) rcsregion1email@dshs.wa.gov
 - RCS Region 2 Email (DSHS/AL TSA/RCS) rcsregion2email@dshs.wa.gov
 - RCS Region 3 Email (DSHS/AL TSA/RCS) rcsregion3email@dshs.wa.gov
7. USPS will send a confirmation email with attachment.

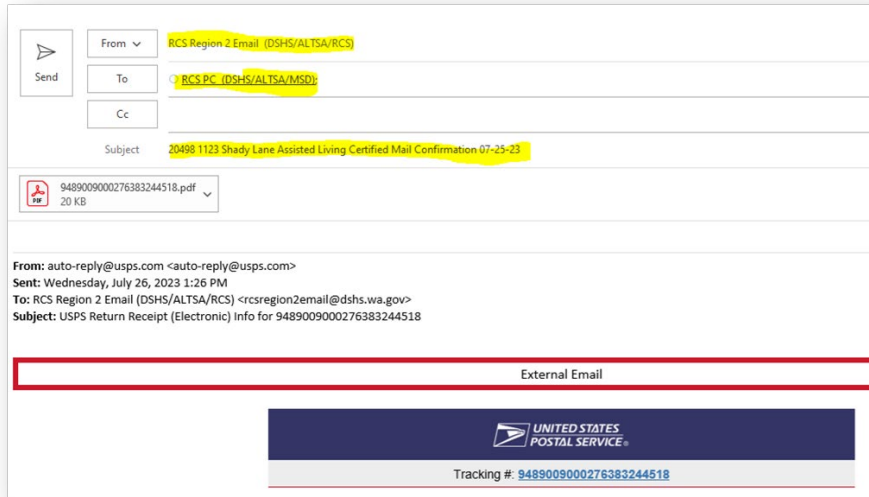


8. Send confirmation email with attachment showing electronic signature to Perceptive Content at rcspc@dshs.wa.gov using the following format for the email subject line:

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



9. If the delivery status is not available, re-schedule a delivery.
10. If 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. Scanners

Background

Many Long-Term care (LTC) settings document on paper. RCS staff collect copies of facility documents to support inspection findings. Scanners are a device that captures an electronic image of a paper document. RCS field staff carry portable scanners as a tool for electronic document collection if the LTC setting does not have the means to provide documents in an electronic format. Scanner use contributes to the RCS goal of paperless work.

Procedure

RCS Staff will:

1. Learn how the scanner works including how to use the scanner and document storage prior to using the scanner.
 2. Establish scanner support.
 - a. Verify that CaptureOnTouch software is installed on the state-issued laptop.
 - b. Create a scanner support folder on the laptop desktop with the scanner user's manual, instructions, trouble shooting and document naming and saving key.
 - c. Identify and carry the local office information technology (IT) support staff telephone number.
 3. Prepare for scanner use in the field.
 - a. Turn on laptop and allow all software updates to install.
 - b. If planning to work without an internet connection, create a folder on the laptop desktop to store scanned documents.
 - i. Name the folder with LTC setting name and license number.
 - ii. There should be a separate folder for each LTC setting.
 - c. If using the Canon p-215ii Scanner - Check to ensure the Auto Start switch on the rear of the scanner is in OFF mode
 - d. Label or attach a business card to the scanner and USB scanner cable.
 4. Gather the following equipment:
 - a. Laptop and Power Supply.
 - b. Scanner and USB connector cable.
 - c. Scanner carry bag.
 - d. Optional: USB data hub.
 5. When using the scanner in the field:
 - a. Place the scanner on a level, stable surface with enough room for scanned documents to exit the scanner freely onto the flat surface. Inadequate room will result in scanned documents jamming the scanner, becoming crumpled or landing on the floor.
 - b. Review scanned document image before finishing a scan to be sure that information is captured correctly. Rescan as needed.
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- c. Return paper documents to the original location, in the original condition after scanning.
 - d. Collect scanner, scanner cable, laptop, laptop cord and carry bags prior to leaving the LTC setting.
6. Scanned document saving:
- a. Save all scanned documents in a designated desktop folder or shared file or upload into electronic working papers.
 - b. Label each scanned document following the RCS document naming convention when saving in a shared file during an inspection.
 - c. If scanned documents are saved in a designated desktop folder during inspection:
 - i. Label each scanned document following the RCS document naming convention.
 - ii. Transfer scanned documents to a shared folder or upload to electronic working papers once connected to an internet source.
 - iii. Delete desktop folder with scanned documents after confirming that scanned documents are stored in their final electronic destination.
 - 1) Scanned documents must be centered, without blurring or defect, in order to be an adequate record for RCS work.
7. For difficulties when using a portable scanner in the field:
- a. Refer to the scanner user's manual and troubleshooting documents in the laptop desktop folder.
 - b. Call the local IT support person.
 - c. RCS staff may ask to use LTC setting scanners or ask that documents are emailed.
 - d. RCS staff may not: take a cell phone photo of a document that has protected health information or any resident/client identifying information in lieu of scanning.

F. [Shared Files](#)

Background

Electronic file sharing simplifies administration, centralizes files for consistency, and keeps files organized and maintained. It is the electronic version of paper file sharing. Until the time that Perceptive Content is fully functional for all RCS documents, staff must use shared files to store and retrieve electronic documents relating to inspections, investigations, and certification work in LTC settings or other RCS work.

[Shared File Saving](#)

Saving documents in shared files requires that RCS staff:

1. Follow standard RCS document naming and saving conventions and folder structure for all shared files.
2. Save electronic documents pertaining to RCS inspection, investigation, and certification or other RCS work in shared files or designated applications, not on personal drives or desktop.
3. Staff have the option to save working papers and documents to their desktop or personal files while conducting inspection, investigation, certification or other RCS work. Staff will remove the documents from the desktop or personal files once the inspection, investigation or certification or other RCS work is closed or completed.
4. Save all Word documents in PDF format.

[Shared File Management](#)

Field Operations - Designated RCS staff must:

1. Conduct a monthly audit of two visits per staff person for the previous month.
 - a. If a staff did not conduct two visits, the designated staff will note in the spreadsheet “Nothing to audit.”
 - b. If staff did conduct two visits in the previous month, select two visits to review. If there are no documents in the Shared Drive for the two visits selected, check with the staff to ensure they did not have any visits in that month.
 - c. Remind staff to store documents in the shared folder if they have saved them elsewhere.
 2. Use the “E-doc Audit Spreadsheet” to track each unit’s folder usage by recording the following information:
 - a. Audit date;
 - b. Brief description of any errors found; and
 - c. The outcome of the audit in the notes section.
For example, “completed according to procedure” or “event ID and document description interchanged.”
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3. Send e-mails to staff with the outcome of the audit using standard messaging that includes:
 - a. Subject Line: E-doc Naming & Saving Review
 - b. No Error Message: On conducting an internal review of the electronic documents saved to the Shared Drive, no errors were found among the files you saved. The files use the correct document naming and saving standard and are saved in the correct folder. Thank you.
 - c. Error Message: On conducting an internal review of the electronic documents saved to the Shared Drive, the files you have saved include errors. Then, list the examples, using the following example:

EXAMPLE:

 - 1) For facility XYZ intake #1234567, documents were in the correct folder, but they were not named according to the standard.
 - 2) For facility XYZ intake #7654321, the documents were in the “Full” folder rather than the “Complaints” folder.
 - 3) Please make the corrections by date and let me and your immediate supervisor know when corrections have been made. Thank you!
4. RCS staff must respond to an error message. If staff do not respond to an error message within a week, request for the immediate supervisor to follow up.
5. Refer staff to their supervisors for additional information about the naming and saving standard or the purpose of the audit.

Non-Field Operations - Designated RCS staff must:

1. Conduct a monthly audit of shared file folders
 2. Use an “E-doc Audit Spreadsheet” to track folder usage
 3. Send e-mails to staff with the outcome of the audit using standard messaging that includes:
 - a. Subject Line: E-doc Naming & Saving Review
 - b. No Error Message: On conducting an internal review of the electronic documents saved to the Shared Drive, no errors were found among the files you saved. The files use the correct document naming and saving standard and are saved in the correct folder. Thank you.
 - c. Error Message: On conducting an internal review of the electronic documents saved to the Shared Drive, the files you have saved include errors. Then, list the examples.
 6. RCS staff must respond to an error message. If staff do not respond to an error message within a week, request for the immediate supervisor to follow up.
 7. Refer staff to their supervisors for additional information about the naming and saving standard or the purpose of the audit.
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Field Managers, Program Managers, and Supervisors must:

1. Ensure staff receive training in shared file naming, saving, and auditing.
2. Designate staff to conduct monthly Shared File Audits.
3. Provide training and mentoring to staff who are having difficulty following shared file system naming and saving conventions, and to staff who do not respond to an audit error message.

G. 9/80 Alternate Schedule Guidelines

Purpose

These guidelines establish administrative procedures and supports employee requests for alternative work schedules options ([DSHS-AP-18-87](#)). The 9/80 alternate schedule process allows staff and supervisors to consider alternate schedules without impairing service to the public while meeting core business needs. For represented employees, the collective bargaining agreements (CBA) supersede specific provisions of agency guidelines with which it conflicts.

RCS recognizes flexibility is a critical driver of staff well-being and performance and is responsive to the changing professional and personal demographic of the multi-generational workforce. When properly managed, it has been shown to increase productivity, increase employee engagement and retention, provide extended coverage, and cross training opportunities, and decrease unplanned absences. It promotes diversity and has a positive impact on workforce culture and employee morale. Implementation of a 9/80 work schedule shall not impede services to the public, or internal or external clients, or impede the division from accomplishing its mission.

The 9/80 schedule is a collaborative arrangement between supervisor and employee to provide flexibility in meeting employees' needs and division goals. The purpose of these guidelines is to (1) encourage the implementation of the 9/80 schedule for recruitment and retention, (2) ensure consistency and structure for application, and (3) provide schedules to address specific division needs whenever possible.

Request Criteria

All RCS full-time employees are eligible to request a 9/80 work schedule. Participating in a 9/80 schedule is not required. Requests will be approved subject to performance, ethics and business and customer service needs.

Roles and Responsibilities

Employees:

1. May request alternative work schedules by emailing their request to their immediate supervisor along with a completed [Work Schedule / Shift Change Notice \(DSHS 03-138\)](#) form and desired schedule.
2. Following approval, participants must:
 - a. Comply with all DSHS and departmental policies, including but not limited to:
 - i. [Administrative Policy No. 14.18](#), E-Mail & Voice Mail Greetings and Responses
 - ii. [Administrative Policy No. 18.28](#), Compensation Policy

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- iii. [Administrative Policy No. 18.31](#), Holidays and Leave
- iv. [Administrative Policy No. 18.58](#), Washington Management Service Department of Social and Health Services
- v. [Administrative Policy No. 18.64](#), Standards of Ethical Conduct
- vi. [Administrative Policy No. 18.87](#), Modern and Mobile Workplace Policy
- b. Adhere to the scheduled day off and the scheduled working hours.
- c. Provide advanced notice to immediate supervisor regarding any deviation from the agreed upon, signed [Work Schedule / Shift Change Notice \(DSHS 03-138\)](#) form.
- d. Have designated coverage on their scheduled flex day.
- e. Work with their immediate supervisor to ensure divisional business needs are met without incurring overtime.
- f. After approval for the schedule change is granted, update their profile in the Travel Expense Management System (TEMS) with their new schedule.

Supervisors:

1. Must review the completed [DSHS 03-138](#) form and schedule request submitted by the employee.
2. Collaborate with the Human Resources Division (HRD) to determine the appropriate rule.
3. Meet with the employee to discuss and determine an agreeable schedule that ensures business needs and job responsibilities are met.
4. Complete the [Work Schedule / Shift Change Notice \(DSHS 03-138\)](#) form with the 9/80 schedule details agreed upon in the meeting with the employee. Both parties must sign the form.
5. Forward the completed, signed form to the Appointing Authority (i.e., Regional Administrator, Office Chief, or Director) for review and approval.
6. Forward the approved form to human resources at AL TSAHRSupport@dshs.wa.gov and designated timekeeper.
7. Update the Flexible Agency Resource Management (FARM) system with the employee's new schedule. (See section labelled '[Databases Requiring Schedule Updates](#)' for more information.)
8. Place a copy of the approved form in the employee supervisory file.

Appointing Authority (i.e., Regional Administrator, Office Chief, or Director):

1. Must review the signed [DSHS 03-138](#) form provided by the supervisor.
2. If necessary, meet with the supervisor for clarification or questions about the proposed schedule.
3. Sign the approved form and email to the supervisor and employee.

[Flexible Work Schedule Termination](#)

Approved flexible work schedule agreements will terminate upon transfer to a new division or work unit. Transferring employees wishing to continue a flexible work schedule must submit a new request.

1. [Termination by the Department](#)
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- a. The Department reserves the right to terminate the agreement at any time.
 - b. Supervisors can terminate 9/80 schedule for failure to comply with the 9/80 guidelines or if business and customer service needs are no longer being met.
 - c. Participants will receive seven (7) calendar day's written notice of any plans to terminate the agreement, unless it is for alleged misconduct or an emergency.
 - d. Upon termination, the employee will revert to their previous work schedule hours.
2. Termination by the Employee
- a. Employees may request to amend the 9/80 or revert to 5–8-hour days by submitting the [Work Schedule / Shift Change Notice \(DSHS 03-138\)](#) form to their immediate supervisor.
 - b. Schedule changes will be made in accordance to pay period policy and will not take effect in the middle of a pay period.

Core Working Hours for 9/80 Alternate Schedule

Each division / unit will establish core working hours based on guidance contained within [RCW 41.04.390](#).

<i>Examples of 9/80 Schedules include:</i>					
9/80	M-F	1 hour lunch	7:00 – 5:00	9 hours	Day off to be determined
9/80	M-F	1 hour lunch	7:30 – 5:30	9 hours	Day off to be determined
9/80	M-F	1 hour lunch	8:00 – 6:00	9 hours	Day off to be determined
9/80	M-F	½ hour lunch	7:00 – 4:30	9 hours	Day off to be determined
9/80	M-F	½ hour lunch	7:30 – 5:00	9 hours	Day off to be determined
9/80	M-F	½ hour lunch	8:00 – 5:30	9 hours	Day off to be determined
9/80	M-F	½ hour lunch	8:30 – 6:00	9 hours	Day off to be determined

DSHS 03-138 Form Completion – Work Schedule Rule Selection

ALL SCHEDULE CHANGES MUST START ON A SUNDAY. Below are examples of how to determine the schedule pattern throughout the year. See [Table 1](#) for applicable work schedule rules.

If the new schedule starts with Jan 1st as week one, then Jan. 8th is week 2 for the first pay period. Jan 15th would again be week one, starting off the next pay period. The schedule will follow this pattern throughout the year every other week.

Example:

1. Employee wants to start a 9/80 schedule on Jan. 22nd and have every other Monday off, with their first Monday off on Jan. 30th. The 30th would fall in week one of the pay period calendar (see calendar example in [Table 2](#)).

This employee would choose work rule R053 M 0, Tu-Fr 9, 2nd M 8.

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- If that same employee wanted to start the new schedule on Feb. 12th and have every other Monday off, with their first Monday off on Feb. 20th off, that Monday would be in week two of the pay period.

This employee would choose work rule would be R051 M 8, Tu-Fr 9, 2nd M 0.

Table 1 <i>Work schedule rules – Choose the rule that matches the employee’s desired schedule.</i>		
DAY OFF	RULE	WORK SCHEDULE RULE TEXT
M	R053	2Wk: M 0, T-F 9, Tu 8, 2 nd M 8
M	R051	2Wk: M 8, T-F 9, Tu 8, 2 nd M 0
M	R057	2Wk: M 0, Tu-F 9, 2 nd M 9, 2 nd F 8
M	R055	2Wk: M-Th 9, F 8, 2 nd M 0, 2 nd F 8
M	R061	2Wk: M 0, T-Th 9, F 8, 2 nd M-Th 9, 2 nd F 9
M	R062	2Wk: M 0, T-F 10, 2 nd M 10, 2 nd F 0
M	R063	2Wk: M-Th 10, F 0, 2 nd M 0, 2 nd F 10
T	R044	2Wk: M, W-F 9, Tu 0, 2 nd Tu 8
T	R042	2Wk: M, W-F 9, Tu 8, 2 nd Tu 0
W	R050	2Wk: M-Tu, Th-F 9, W 0, 2 nd W 8
W	R048	2Wk: M-Tu, Th-F 9, W 8, 2 nd W 0
Th	R054	2Wk: M-W, F 9, Th 0, 2 nd Th 8
Th	R052	2Wk: M-W, F 9, Th 8, 2 nd Th 0
F	R047	2Wk: M-Th, 9, F 0, 2 nd F 8
F	R045	2Wk: M-Th, 9, F 8, 2 nd F 0
F	R059	2Wk: M-W 9, Th 8, F 0, 2 nd M-F 9
F	R049	2Wk: M-F 9, 2 nd Th 8, 2 nd F 0

Table 2							
<i>This calendar is intended as an example of how to determine which work schedule rule is applicable</i>							
Month	Sun	Mon	Tue	Wed	Thu	Fri	Sat
JAN 2023	1 WEEK 1	2	3	4	5	6	7
	8 WEEK 2	9	10	11	12	13	14
	15 WEEK 1	16	17	18	19	20	21
	22 WEEK 2	23	24	25	26	27	28
	29 WEEK 1	30	31	1	2	3	4
FEB 2023	5 WEEK 2	6	7	8	9	10	11
	12 WEEK 1	13	14	15	16	17	18
	19 WEEK 2	20	21	22	23	24	25
	26 WEEK 1	27	28				

Emergency Response

Washington Management Service (WMS)/Exempt Management Service (EMS) employee schedules may be subjected to division review and revisions to respond to emergencies and disasters.

Holidays

Represented Staff:

Washington Federation of State Employees ([WFSE](#)) and Service Employees International Union ([SEIU](#)) members will follow their CBAs.

Non-represented and Exempt Staff

1. When a holiday falls on the employee’s scheduled workday, that day will be considered the holiday.
2. When a holiday falls on the employee’s scheduled day off, the agency will treat the employee’s workday before or after as the holiday.
3. Employee may request an alternate day off as their holiday if the requested day off falls within the same pay period as the holiday. The supervisor may approve or disapprove the request.

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4. Paid holidays during the employee’s regular work schedule are considered time worked.

Outlook and Phone Messaging

The below guidelines relate to employee communication within 9/80 work schedule.

Employees on a 9/80 work schedule must:

1. Have their Outlook calendar updated and clearly identify the scheduled day off.
2. Activate their out of office reply during the designated day off and include the name and contact number of the covering designee. This also applies to the voice mail system.
3. Employees on a 9/80 work schedule must have shared permission with their immediate supervisor that includes a detail view. Immediate supervisors may require the employee to share their calendar with others at their discretion.

Annual Review

The supervisor and the employee must review and evaluate the 9/80 agreement annually, and as needed.

Databases Requiring Schedule Updates

1. **TEMS** (updated by Employee):

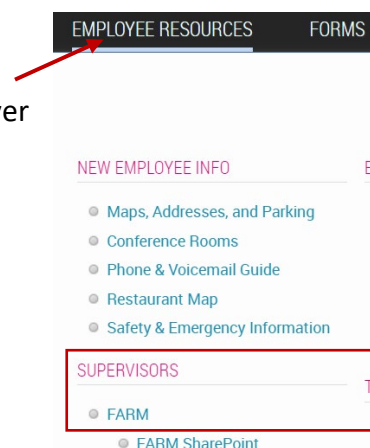
Updating a TEMS profile – [Travel Expense Management System](#)

- a. Log into TEMS.
- b. Click on the Profile tab.
- c. Click the Edit button.
- d. Make the necessary changes.
- e. Click Save to save the changes made.

2. **FARM** (updated by Supervisor):

Updating a FARM profile – [FARM Quick Reference Guide](#)

- a. Enter FARM from AL TSA Intranet link by hovering over Employee Resources and selecting FARM.
- b. Click above Quick Reference Guide link.
- c. Follow directions given in guide.



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[Change Log](#)

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 procedures are formalized in a desk manual using a standard format.
 - b. RCS staff identify when administrative procedures need to be written, updated, or retired.
 - c. Written administrative procedures are modified after review by staff using the procedure.
2. RCS Administrative staff are trained using a standard administrative orientation checklist.
 - a. The standard administrative orientation checklist is based on expected and/or anticipated duties.
 - b. RCS staff identify when the standard administrative orientation checklist topics need to be added, updated, or retired.
 - c. The standard administrative orientation checklist is modified after review by staff performing the work.

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3. RCS Administrative staff collaborate and/or receive ongoing training:
 - a. During monthly RCS support calls and featured trainings.
 - b. At Administrative specific meetings.
 - c. During office or unit-based meetings or huddles.
 - d. 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: [Appendices](#)

A. [Glossary of Terms](#)

9/80 schedule – Eight 9-hour days, one 8-hour day, and one day off in a 2-week period. Under a typical 9/80 arrangement, employees work four 9-hour days each week and one 8-hour workday every other week with one day off every other week.

Agency – State agency

Alternative work schedules – the period on either side of the core business hours during the pay period where employees can vary their arrival and departure time.

Core business hours – hours during which all full-time employees must be on duty when scheduled to work eight hours or more, unless in an approved leave status. RCS core hours are Monday thru Friday, 8:00 AM to 5:00 PM. Employees can flex hours based on business need.

Department – This term refers to the Washington state Department of Social and Health Services (DSHS).

Flexible work schedule – an overarching term referencing different work schedules within DSHS. These schedules include flex time, compressed workweek, and telework schedules.

Flextime – daily work schedule which contains a core time of required hours during which an employee subject to the schedule is required to be present for work and designated hours before and after the core time during which an employee, with the approval of his or her agency, may elect a time of arrival to work and departure from work. Flex time is allowable under [RCW 41.04.390](#).

Pay period – stretch of time over which employee work hours are compiled for inclusion in a paycheck.

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 – 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, Law Enforcement or Anonymous.

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- **Public** – are generally residents or clients, family of residents or clients, DSHS staff, DDA staff, 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.

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

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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.

Work schedule – schedule that is assigned to an employee in the Human Resources Management System (HRMS) and notates the planned start and end times that an employee is expected to work on specific days of the week. (Hours an employee is scheduled to work within the workweek)

Work Schedule Change Request – means a request by an employee to change their current work hours, using the [Work Schedule / Shift Change Notice \(DSHS 03-138\)](#) form.

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

Workweek – fixed regular recurring period of 168 hours beginning at a time determined by the appointing authority and continuing for seven consecutive 24-hour periods. The workweek may begin on any day and at any hour of the day.

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B. Acronym List

AA3	Administrative Assistant 3
AFH	Adult Family Homes
ALF	Assisted Living Facilities
AL TSA	Aging and Long-Term Support Administration
BMP, GIF, JPEG, PNG, TIF, TIFF	File formats (and their extensions)
CBA	Collective Bargaining Agreement
CC	Carbon Copy (in emails)
CCRSS	Certified Community Residential Services and Supports
CD	Compliance Determination
DSHS	Department of Social and Health Services
ECM	Enterprise Control Management
EMS	Exempt Management Services
ESF	Enhanced Services Facilities
ETS	Emergency Temporary Standard
FM	Field Manager
HRMS	Human Resources Management System
ICF/IID	Intermediate Care Facilities for Individuals with Intellectual Disabilities
IT	Information Technology
LTC	Long-Term Care
MSD	Management Service Division
NH	Nursing Homes
OCIO	Office of the Chief Information Officer
PDF	Portable Document Format
POC	Plan of Correction
RCS	Residential Care Services
RCW	Revised Code of Washington
SEIU	Service Employees International Union
SL	Supported Living
SOD	Statement of Deficiency
SOP	Standard Operating Procedures
STARS	Secure Tracking and Reporting System
WAC	Washington Administrative Code
WFSE	Washington Federation of State Employees
WMS	Washington Management Services
WSLC	Washington State Learning Center

C. [Forms and Resources](#)

e-Fax

- [RCS e-Fax and email script messaging document](#)

Certified Mail

- [SOP Chapter 20 – Complaint Investigations](#)
- [STARS Manual](#)
- [USPS Tracking Tool](#)

9/80 Alternate Schedule Guidelines

- [Work Schedule / Shift Change Notice form \(DSHS 03-138\)](#)
- [Training Slides](#)
- [Training Q&A](#)
- [SHR Supporting Working Parents and Caregivers PDF](#)
- [Leave Tracker Tips and Tricks](#)
- [FARM Quick Reference Guide](#)
- [Travel Expense Management System \(TEMS\)](#)
- [DSHS Travel Website](#)
- [WFSE Collective Bargaining Agreement \(CBA\)](#)
- [SEIU Collective Bargaining Agreement \(CBA\)](#)

D. Background, RCWs, and WACs

Electronic Signatures (Part I, A)

[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.

Related RCWs, WACs, and Policies:

- [RCW 1.80.060](#), Legal recognition of electronic records, electronic signatures, and electronic contracts.

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- [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.

Shared Files (Part I, E)

File sharing allows staff to retrieve the same file for view or modification. MSD staff are the RCS file sharing system administrators. RCS staff have a varying amount of access to these shared files and the permissions set by MSD are based on the type of file being accessed.

The best practices for shared files include:

- Having a well-planned folder structure;
- Naming files and folders based on search intent; and
- Documenting and following a process to backup shared files.

File sharing standards protect and preserve electronic data and these procedures give direction and awareness to staff using shared files.

9/80 Alternate Schedule (Part I, F)

Background

These guidelines establish administrative procedures and supports employee requests for 9/80 alternative work schedules. The 9/80 process allows staff and supervisors to consider alternate schedules without impairing service to the public while meeting core business needs. For represented employees, the CBA supersedes specific provisions of agency guidelines with which it conflicts.

The 9/80 schedule is a collaborative arrangement between supervisor and employee to provide flexibility in meeting employees needs and division goals.

The purpose of these guidelines is to:

- Encourage the implementation of the 9/80 schedule for recruitment and retention;
- Ensure consistency and structure for application; and
- Provide schedules to address specific division needs whenever possible.

Related Policies, RCWs, and WACs

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1. Policies
 - a. [Executive Order 16-07](#), Building a Modern Workforce
 - b. [Administrative Policy No. 14.18](#), E-Mail & Voice Mail Greetings and Responses
 - c. [Administrative Policy No. 18.28](#), Compensation Policy
 - d. [Administrative Policy No. 18.31](#), Holidays and Leave
 - e. [Administrative Policy No. 18.58](#), Washington Management Service Department of Social and Health Services
 - f. [Administrative Policy No. 18.64](#), Standards of Ethical Conduct
 - g. [Administrative Policy No. 18.87](#), Modern and Mobile Workplace Policy
2. RCWs
 - a. [RCW 41.04.390](#), Flexible-time work schedules
 - b. [RCW 42.04.060](#), Business Hours
 - c. [RCW 42.52.160](#), Use of persons, money, or property for private gain
 - d. [RCW 42.56.070](#), Public Records Act

Each division/unit will establish core working hours in guidance with [RCW 41.04.390](#), Flexible-time work schedules.

[RCW 41.04.390 \(3\)](#), Flexible-time work schedules states that the appointing authority may assign or reassign any employee or group of employees to a flex-time schedule for business need or emergencies.

3. WACs
 - a. [WAC 357-28-225](#) through [WAC 357-28-240](#)

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E. [Change Log](#)

Eff. Date	Chapter/ Section #	Description of the Change	Reason for Change	Communication and Training Plan
10/13/2023	Part II Administrative Work	Subchapter development	To provide guidance to staff	R23-084
10/13/2023	Part I: D Certified Mail	Subchapter Development	To provide guidance to staff	R23-084
10/13/2023	Ergonomics	Section removed	Placed in newly developed Occupational Health Chapter 21	R23-084
10/13/2023	PPE Management	Section removed	Placed in newly developed Occupational Health Chapter 21	R23-084
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	<ul style="list-style-type: none">• Training provided during 08/01/2023 Support Call
09/08/2023	Part II: Ergonomics	Subchapter Development	To provide guidance to staff	MB R23-074 <ul style="list-style-type: none">• Training provided during 08/01/2023 Support Call
02/17/2023	Full Chapter	Chapter development	Information to all RCS staff	MB R23-016

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