CHAPTER 3: Business Analysis and Applications Unit (BAAU)

ALTSA Residential Care Services, Standard Operating Procedures Manual

Washington State
Department of Social
& Health Services

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Overview

The Business Analysis and Applications Unit (BAAU) processes applications for licenses for Adult Family Homes (AFHs), Assisted Living Facilities (ALFs), Enhanced Services Facilities (ESF) and Nursing Homes (NHs) and also processes applications for certification of Certified Community Residential Supports and Services (CCRSS).
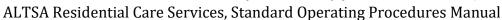
Residential Care Services licenses and certifies long-term care settings and services under the following Revised Codes of Washington and Washington Administrative Codes:

A. CHAPTER 74.34 RCW ABUSE OF VULNERABLE ADULTS
B. CHAPTER 18.20 RCW ASSISTED LIVING FACILITIES
C. CHAPTER 70.129 RCW – LONG-TERM CARE RESIDENT RIGHTS
D. WAC 388-76 ADULT FAMILY HOME MINIMUM LICENSING REQUIREMENTS
E. WAC 388-78A ASSISTED LIVING FACILITY LICENSING RULES
F. WAC 388-97 NURSING HOME - SUBCHAPTER III NURSING HOME LICENSE
G. WAC 388-107 LICENSING REQUIREMENTS FOR ENHANCED SERVICES FACILITIES

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

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

Chapter Index

Part I: Adult Family Home (AFH) On-line Review Procedures

A. Department Review

Overview

Department Review means the process by which the department reviews application(s) to determine whether or not the application will be processed for completion or denial. The Department Review consists of the RCS Director, Office Chiefs, a Policy Unit representative, the Business Analysis and Applications Unit (BAAU) manager, the Residential Inspection and Quality Assurance Program (RIQAP) unit manager, a Compliance and Enforcement Unit representative, and other RCS staff, when applicable.

When an application is received and it is determined a Residential Care Services (RCS) management discussion is needed prior to approval, the application file will be required to be reviewed and discussed at the Department Review. To initiate this process, the Program Specialist will notify the BAAU manager and the Administrative Assistant (AA) that the application file will need to go to Department Review.

Procedure

1. The Program Specialist (PS) will:
   a. Open the Department Review Folder located on the Secured Network Drive.
   b. Locate the Year and the folder for the month the Department Review meeting will occur.
   c. Within the Month Folder, right click and create a New Folder.
   d. Rename the Folder with the name of the facility.
   e. Drag and drop or copy the relevant documentation, (i.e., BG FP Auth, copy of the application, and Financial Assessment).
   f. Add the Required information along with a Summary Statement to the Roster located in the Month Folder.
   g. Send email to the BAAU Manager using the following template:
      Subject line - (Application #) Facility Name – Department Review Required
      Content of the Email –
      For your action, please review the AFH Application file for (Name of Facility and Individual). The AFH application file is located on the Secure Drive.
      (Provide a summary of the issue)
2. The BAAU Manager will:
   a. Review the application information located in the Department Review secure file and determine if more information is required prior to presenting the application at the Department Review.
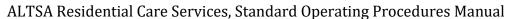
b. The BAAU Manager will attend and record the Department Review's decision by updating the appropriate Roster located in the Department Review secure drive, indicating the decision and determination made at the Department Review meeting.

c. Update the Facility Management System (FMS) based on the outcome of the meeting.

d. Send an email notification to the BAAUapplications@dshs.wa.gov inbox containing the Department Review's decision (i.e., approved to move forward in processing the application to completion, applicant is denied a license, license will be approved with a Limit on the License, or additional information is requested).

Part II: Appendices

A. Glossary of Terms

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

Department Review – means the process by which the department reviews application(s) to determine whether or not the application will be processed for completion or denial.

B. Acronym List

AA	Administrative Assistant
AFH	Adult Family Homes
ALF	Assisted Living Facilities
BAAU	Business Applications and Analysis Unit
BG	Background
CCRSS	Certified Community Residential Services and Supports
DSHS	Department of Social and Health Services
ESF	Enhanced Services Facilities
FMS	Facility Management System
FP	Fingerprint
NH	Nursing Home
PS	Program Specialist
RCS	Residential Care Services
RCW	Revised Code of Washington
RIQAP	Residential Inspection and Quality Assurance Program
WAC	Washington Administrative Code

C. Change Log

Eff. Date	Chapter/ Section #	Description of Change	Reason for Change	Communication and Training Plan
07/28/2023	Full Chapter	Establishment of chapter	Establishment of chapter	MB R23-066

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