

Overview

This Standard Operating Procedure (SOP) chapter contains information about documents that are stored in central files and field offices. The content is relevant to Residential Care Services (RCS) staff, as well as anyone seeking to understand how RCS files are stored, retained, and destroyed.

These procedures are specific to Residential Care Services and are not covered by [DSHS Administrative Policies](#).

Authority

- [Chapter 40.14 RCW](#) – Preservation and Destruction of Public Records
- [Chapter 42.56 RCW](#) – Public Records Act
- [Chapter 434-662 WAC](#) – Preservation of Electronic Records
- [Chapter 434-663 WAC](#) – Imaging Systems, Standards for Accuracy and Durability
- [DSHS Administrative Policy 5.04](#) – Records Retention
- [DSHS Administrative Policy 5.05](#) – Management of the Litigation Discovery Process
- [DSHS Administrative Policy 5.06](#) – Use and Destruction of Health Care Information
- [DSHS Administrative Policy 5.07](#) – Employee Response to Litigation Related Documents
- [DSHS Administrative Policy 5.08](#) – DSHS Minimum Physical Security Standards for Confidential Information and Financial Instruments
- [DSHS Administrative Policy 15.15](#) – Use of Electronic Messaging Systems and the Internet
- [Washington State Records Retention Schedules](#)

Contacts

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Part I: [Records Management](#)

A. [Record Scanning, Verification, and Destruction](#),

Background

Records Management is the responsibility of every person in RCS. Ensuring that we have complete and accurate records:

- Enables DSHS to fulfill its mission by giving timely access to information necessary to help our clients.
- Ensures open and accountable government.
- Promotes cost-effective use of agency resources by maintaining continuity in the event of staff turn-over, avoiding storage costs and purchasing.
- Minimizes risks and associated costs by being able to readily locate records in response to litigation, discovery, public records requests, and audits.

Perceptive Content has been authorized by the Washington Secretary of State as a records management tool that allows RCS to destroy non-archival records once that record has been imported into Perceptive Content and **verified to be complete and accurate**. The process for destroying records after their successful import into Perceptive Content is commonly referred to as *Scan and Toss*. It is a policy that is compliant with WA state records management standards with [Washington State Archives](#).

Procedures

1. [Scanning](#)

- a. When scanning documents that will be preserved in Perceptive Content, records **must** be scanned and verified in a systematic and consistent fashion that ensures a complete and accurate copy of the source record. The document should have all associated pages in the correct order. The pages should not be contorted views of a document or blurry images.
- b. Additional resources for scanning documents are available at [Electronic Doc & Scanner Tools](#). This would include scanner user manual, scanner instructions, troubleshooting problems, and scanner training.

2. [Verification](#)

Prior to destruction of the record, the record must be **confirmed as complete and accurate** in Perceptive Content by an RCS staff person that has access to the original record. Perceptive Content is accessible to all RCS staff through STARS. Please see the [STARS manual](#) for additional instructions on how to search Perceptive Content in STARS.

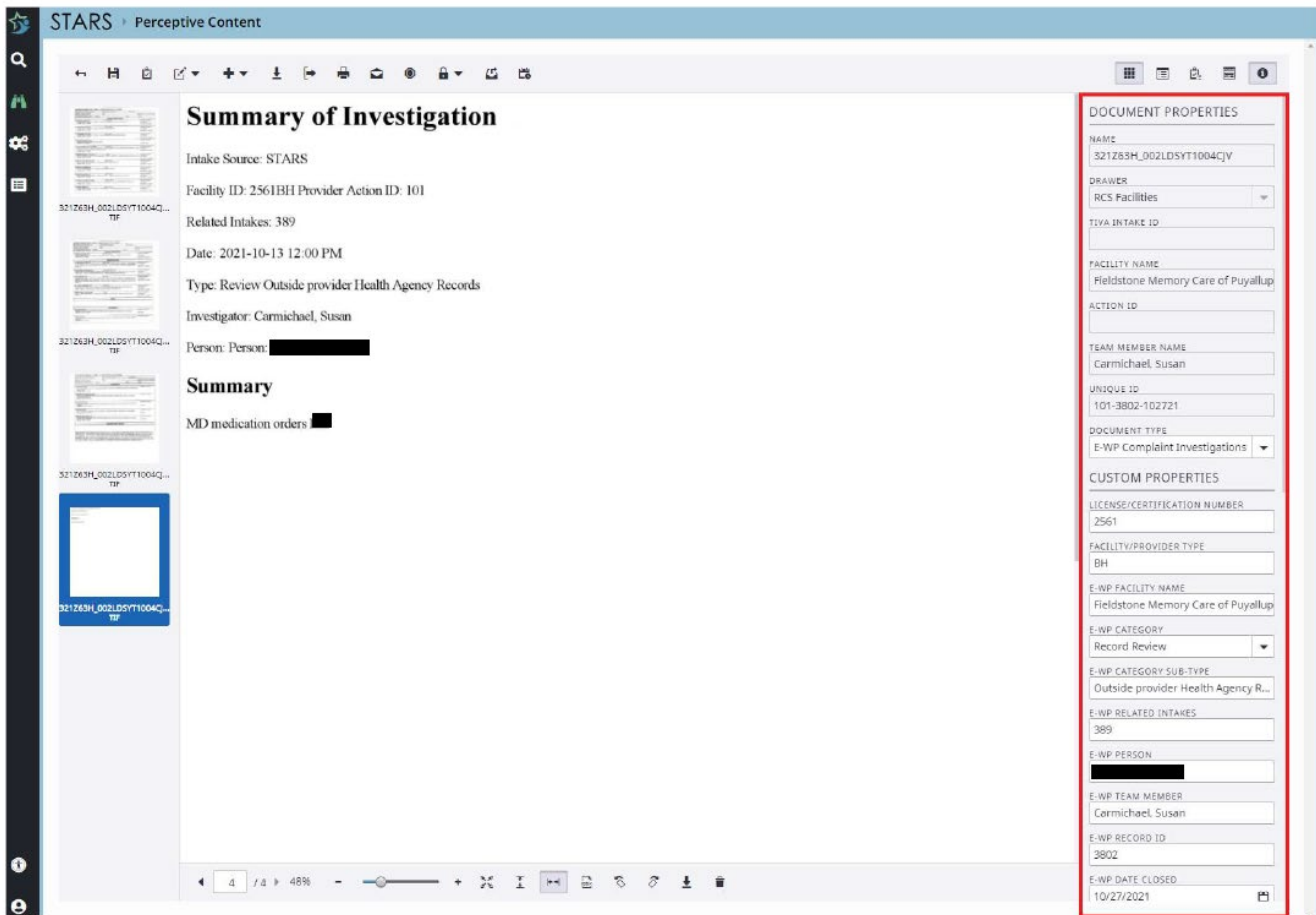
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Tip: Records are transferred from the Electronic Working Papers (e-WP) application to Perceptive Content once the user clicks “save and close” within the e-WP application and the user receives confirmation that the records were successfully transferred. Additional details on the e-WP application may be found [here](#).

Within 30 working days of import into Perceptive Content, staff with access to the original record must review the document to verify the records imported into Perceptive Content are complete and accurate by:

1. Locating the document within Perceptive Content;
2. Verifying the completeness of the record; and
3. Confirming the accuracy of the document properties and custom properties with the scan quality as noted in the red box below.



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3. [Destruction](#)

After the staff verifies the records imported into Perceptive Content are complete and accurate according to the process of verification above, staff must destroy the original documents by:

- a. Disposing of hardcopy records using DSHS-approved confidential shred bins; and
- b. Deleting electronic records from computers and shared drives.

If after transferring documents into Perceptive Content corrections need to be made to the record for it to be considered complete and accurate, please contact the following:

- a. For e-WP records: RCSewp@dshs.wa.gov
- b. For all other records: RCSCentralFiles@dshs.wa.gov

Quality Improvement Review

The review for the accuracy and compliance of this procedure will happen at least every five years.

B. [Hardcopy Records to Central Files](#)

Background

The Central Files team has the responsibility of providing access, management, retention, storage, protection, and disposition of RCS facility records throughout their life cycle and to ensure timely and accurate information is available. Each field office must ensure hardcopy records are sent to Central Files in a timely and organized manner.

This would include any documentation that is in hardcopy form. Hardcopy forms include records that have been printed and marked (with pen, highlighter, stamps, etc). Additional hardcopy forms include certified mail receipts or printed records that have been received by RCS. All working papers are the responsibility of the units creating them and records should not be forwarded to Central Files for maintenance/storage.

Procedure

All hardcopy records are to be submitted to Central Files within 10 working days after the record is considered closed. The record is considered closed when all necessary ACO, AEM, ACTS, ASPEN and/or STARS data entry has been completed.

Records must come to Central Files ready to be filed and easily identified (i.e., SODs with all associated pages, CD ID and/or license number with mailing receipt, etc.). The records must be submitted without staples. Rubber bands or clips can be used to hold the documents together.

Send finalized hardcopy records from the field, HQ, the BAAU, and the BOA Unit to:
Central Files, MS: 45600.

Field Manager Responsibility

1. Review the new process with staff.
2. Train new staff and ensure they can demonstrate they understand this procedure.
3. Conduct periodic reviews of this procedure to ensure staff are following the SOP correctly.
4. Request training or clarification from Headquarters as needed.
5. Comply with requests from the Quality Assurance (QA) Unit when asked to provide documentation of the mandatory interview questions.

Quality Improvement Review

The review for the accuracy and compliance of this procedure will happen at least every five years.

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Part II: [Appendices](#)

A. [Change Log](#)

Eff. Date	Chapter/ Section #	Description of Change	Reason for Change	Communication and Training Plan
04/21/2023	Full Chapter	Complete chapter due to the conversion of hardcopy records to electronic form	New IT systems to manage records.	MB R23-039
03/2016	Full Chapter	SOPs for documents sent to Central Files. Previously all information was found in Management Bulletins (MBs).	Process has been streamlined and fewer documents required.	MB R16-053 MB R16-054 Posted online for employee review and comment. In-person Support Staff Training held in June 2016
04/2004	Full Chapter	Public Disclosure Guidelines were updated	RCS transition to chapter format: all	MB R04-027 <i>rescinded</i>