

CHAPTER 3: Business Applications and Analysis Unit (BAAU)

ALTSA Residential Care Services, Standard Operating Procedures Manual



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 18.20 RCW Assisted Living Facilities](#)
- B. [Chapter 70.129 RCW – Long-Term Care Resident Rights](#)
- C. [Chapter 74.34 RCW Abuse of Vulnerable adults](#)
- 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 in addition to [DSHS Administrative Policies](#), as they are specific to RCS. These procedures will be reviewed for compliance and accuracy at least every five years.

Contacts

- [BAAU Unit General Contact](#),
- [RCS Policy Unit General Contact](#) (**internal** RCS use)
- RCSPolicy@dshs.wa.gov (**external** RCS use)
- [RCS Quality Improvement Unit General Contact](#)

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Part I: Adult Family Home (AFH)

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) 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., Background [BG] Fingerprint [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.

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- 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 Secure Tracking and Reporting System (STARS) 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).

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Part II: Assisted Living Facilities (ALF) – Under Construction

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Part III: Certified Community Residential Services and Supports (CCRSS) – Under Construction

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Part IV: Enhanced Services Facilities (ESF) – Under Construction

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Part V: Group Training Homes (GTH) – Under Construction

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Part VI: Nursing Homes (NH) – Under Construction

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Part VII: Appendices

A. 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.

Agency – State agency.

Applicant/employee – An individual who has signed the DSHS background check authorization form under penalty of perjury. The individual is also considered the subject of the background check.

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.

Background check – means a name and date of birth check or a fingerprint-based background check, or both. [WAC 388-113-0010](#).

Background Check Central Unit (BCCU) – means a division within the department that processes background checks for department authorized service providers and department programs who serve vulnerable individuals across Washington State. [WAC 388-113-0010](#).

Certification – The process used by the department to determine if an applicant or service provider complies with federal health, safety, and program standards and is eligible to provide certified community residential services and support to clients.

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.

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.

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](#).

Fingerprint check – means a fingerprint check is considered a positive identification check. The fingerprints of an applicant are reviewed to match fingerprints taken at the time of an arrest or conviction of a crime.

Group Training Homes (GTH) – A facility which provides 24-hour supervision, full-time care, treatment, and training for two or more adults with developmental disabilities. Operated on a non-

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profit basis by a person, association, or corporation. Room and board expenses are included in the rate paid by DDA and the clients participate toward their cost of care. Also known as, “Epton Act Homes”, the Group Training Home model was created by legislation drafted in the early 1970’s.

Home – A generic term used to describe an adult family home in the State of Washington.

Inspection – A generic term used to describe the process by which RCS staff evaluates a licensee’s compliance with statutes and regulations. Complaint/incident investigations are only one type of on-site inspection/survey done to determine the health and safety of vulnerable adults in licensed or certified long-term care residential settings.

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.

Requirement – Any structure, process, or outcome that is required by law or regulation.

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](#).

Structure – Requirements specifying the initial conditions, which must be present for an entity to be certified to participate. They are expected to remain as is unless there is a need for major renovation, re-organization, or expansion of services.

Examples include updating to new windows/carpet/paint; changing the number of bedrooms; changing the size of a room.

Unsupervised access – means not in the presence of:

- Another employee or volunteer from the same business or organization; or
 - Any relative or guardian of any of the children or individuals with a developmental disability or vulnerable adults to which the employee, student or volunteer has access during the course of his or her employment or involvement with the business or organization ([RCW 43.43.830](#)).
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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.

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B. Acronym List

AA	Administrative Assistant
AFH	Adult Family Home
ALF	Assisted Living Facility
ALTSA	Aging and Long-Term Support Administration
BAAU	Business Applications and Analysis Unit
BCCU	Background Check Central Unit
BG	Background
BOAU	Business Operations and Analysis Unit
CCRSS	Certified Community Residential Services and Supports
ESF	Enhanced Services Facilities
FP	Fingerprint
GTH	Group Training Home
PS	Program Specialist
RCS	Residential Care Services
RCW	Revised Code of Washington
RIQAP	Residential Inspection and Quality Assurance Program
SNF	Skilled Nursing Facility
SOP	Standard Operating Procedures
STARS	Secure Tracking and Reporting System
WAC	Washington Administrative Code
WD	Working Day

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C. Change Log

Eff. Date	Chapter/ Section #	Description of Change	Reason for Change	Communication and Training Plan
01/17/2025	Entire Chapter	Formatting updates	Comply with new DSHS branding	N/A
07/28/2023	Full Chapter Part I: AFH Department Review	Establishment of chapter and subsection	Establishment of chapter and subsection	MB R23-066

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