Washington State Department of Health

Exhibit A
HELMS
Business Requirements

RFI N22787

Part 1 of 2

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1 Glossary

Please see the Department of Health's online glossary for commonly used licensing and enforcement terms:
http://www.doh.wa.gov/LicensesPermitsandCertificates/ProfessionsNewReneworUpdate/GlossaryofTerms

Please see the Adjudicative Services Unit's glossary for terms used in the adjudicative process:
http://www.doh.wa.gov/ForPublicHealthandHealthcareProviders/HealthcareProfessionsandFacilities/Hearings/Definitions

Other terms that need further definition or are specific to this document:

Term	Definition
Program Area	A health profession, facility type or education program that falls under the regulatory authority of the department or one of the health boards/commissions.

Administrative Unit	For the purposes of these requirements, Administrative Unit refers to one of the five main customers of the solution:
	• Three independent health commissions. They not only have disciplinary authority over their relevant professions but also perform much of the administrative functions needed to regulate their professions:
	  ○ Nursing Care Quality Assurance Commission (NCQAC)
	  ○ Medical Quality Assurance Commission (MQAC)
	  ○ Chiropractic Quality Assurance Commission (CQAC)
	• Health Services Quality Assurance (HSQA) division which performs administrative services for all other Disciplinary Authorities.
	• Adjudicative Services Unit which serves as the administrative court for all Department of Health cases.

Business Unit	A unit or team that performs specialized services related to one or more professions, facility types, education programs or community health systems.
Business Processes and Workflows	The terms Business Process and Workflow are often used interchangeably but we would like to define some distinctions that will help us make our requirements clear. In this documentation, we are using Business Process or sometimes just Process for a generalization or abstraction of the work that is actually done or will actually be done. The process maps are intended to capture the key tasks (from a business perspective) that need to be performed to fulfill the purpose of the process. Workflows will come into play later in the project when we get to configuration level requirements. Configuration level requirements allow business units to precisely define the tasks that must be facilitated by the system. Every business process will map to one or more workflows that will be configured to meet the unique needs and practices of the business units involved. So for example, if the Nursing Commission decides they want to have a staff attorney assigned to every case once the investigation is complete, this could be configured into the

	workflow. At this stage of the requirements our job is to make sure the requirements identify the need for this type of configuration but the actual configuration requirement will be documented during the Configuration Requirements phase of the project.
Task	A Task is a unit of work generally performed by one person to achieve a particular goal within a larger business process or workflow.
System	The System (or solution) is a set of software products integrated to satisfy business requirements. The purpose of these requirements is to define what is needed from the system and any constraints on how it must work.
Use Case	A Use Case is a case for using the system in order to achieve a goal. It defines a capability that a user needs in order to achieve these goals - a capability that is provided by the system. Here we avoid "concrete" use cases which define the interaction between a user and the system. That level of detail is not suitable for our purposes. As much as possible, we want the use cases to avoid constraining the solution. For this reason, we only talk of general responsibilities for the system, not the detailed interaction between the user and the system.
User Role	User roles define users in term of their role in the business process. For example, the Case Reviewer role is a person assigned to an enforcement case for the purpose of studying and presenting it to the Case Management Team (or review panel). This role can be played by any of the following: • Reviewing Board Member (RBM) for board cases. • Reviewing Commission Member (RCM) for commission cases. • Case Manager for Secretary cases. • Staff Attorney. Although they all play different roles within their business unit, within the context of a case decision, they play the Case Reviewer role. User Roles are defined before each section of use cases. Each user must have at least one User Role, or they may not use the system. Many users will have multiple user roles. The concept is the same as the Actor of the Unified Modeling Language.
TBD	To be determined. We are using "TBD" in the requirements to mark items that need details fleshed out later.

2 Global Business Requirements

This section contains the global business requirements for the HELMS project

2.1 Single integrated system of record for Health Licensing and Enforcement.

HELMS will serve as the single integrated system of record for the Department of Health healthcare licensing and enforcement activities for providers, educational/training programs and facilities. This will ensure a single authoritative source of record for licensed providers, educational/training programs and facilities, their credentials, case history, transactions and communications. While separate systems may be implemented, it is expected they would be integrated to provide a seamless flow of information and work items from inception to completion.

It is essential that data is shared across all functional areas supporting licensing and enforcement so data is entered once at the source and does not have to be re-entered. This will also allow authorized users will also allow real time sharing of record updates between authorized users.

2.2 Seamless user interface

HELMS will provide a single, seamless consistent and easy to use interface for both internal and external users. While separate systems may be implemented, it is expected they would be integrated so that the user will be provided with a seamless work experience.

This interface will also allow real time sharing of record updates between authorized users.

2.3 Configurable workflows

HELMS workflows must support the unique needs and preferences of each Administrative Unit and the various credentials they administer. They will be configurable so that business units can fine tune their business process according to their needs. With this, we expect to:

- Speed the time in which new workflows can be created or existing workflows can be modified
- Limit the extent to which the system must be customized from standard releases so that updated releases can be implemented with minimal impact
- Limit the cost of software development to respond to new and changing Disciplinary Authority requirements

2.4 Role based access and security

It is essential the HELMS solution enables users to perform authorized operations within a shared system, while minimizing the risk of access to unauthorized content or operations.

Users are assigned roles which provide access to capabilities (use cases) and information associated with those capabilities. Some roles may be program based. The system must support assigning a set of Professions or Facility Types to these types of roles. Users in these roles can only work on assignments related to their business unit functional responsibilities.

Based upon authorized security permissions, an individual may be assigned more than one user role.

2.5 Configuration and Change Management process and tools

HELMS will have a defined process and tools for easy and efficient change and configuration management included in the solution.

2.6 Business rules engine

HELMS will have a defined process and tools for easy and efficient change and configuration management included in the solution.

HELMS will have a business rule engine that indexes configurations by business rule citation. Systematic reference to configurations related to specific business rules such as RCW/WAC chapter, section, sub-section, paragraph will enable:

- Rapid and efficient impact assessment of proposed legislation to technology
- Rapid and efficient implementation of business rule changes through a systematic process

2.7 Minimize paper-based processes

Wherever possible, information will be collected electronically to reduce the number of paper documents received from external parties. We expect the HELMS solution to replace paper-based business processes and workflows with robust electronic workflows and controls within legal guidelines.

External parties with the appropriate user role will have access to relevant records, documents and transactions so they can work with them electronically or print them to support their own business processes.

If paper is introduced during a process, the system will support scanning, uploading, saving and indexing the documentation to the appropriate case record.

2.8 Robust reporting solution

HELMS capabilities supporting the expected solution are twofold:

1. Create and maintain a data dictionary where commonly used data fields are governed for appropriate use, consistent to their definition and, unique data fields are added as required by each Disciplinary Authority
2. Provide a database structure that allows users to run queries and reports in real or near real time, during core business hours without degradation to system performance

It is essential users have the ability to design and generate reports from all system data sources involved in health licensing and enforcement as well as the ability to control access and distribution of reports.

2.9 Easy to use and flexible user dashboards

HELMS will provide each user with a dashboard view of their and their team's assignments. Dashboards will display transactional information for the user as it relates to the operations for which they are responsible for based on their User ID and User Role. Users will be able to initiate updating client records or take other actions from their dashboard.

User dashboards will be provided to all HELMS users, including Department staff, Disciplinary Authority appointees, applicants, licensees, legal counsel, and general public.

“Dashboards” can be configured by the user by filtering and sorting the lists and by selecting the medium and frequency system generated alerts will be received.

Internal users will be allowed to grant permission to other authorized users to access their dashboard and notifications/alerts.

2.10 Notifications

HELMS must support system generated notifications triggered by system recognized deficiencies and/or user generated alerts, which can be generated to follow up a specific client record or user specific information.

System generated notifications (mandatory notifications):
HELMS will generate notifications as a result of actions taken or state changes to entities. Notifications will be configurable as to content, trigger and target.

User generated notifications (optional notifications):
HELMS will allow users to create notifications that can be associated to a specific client case record or a specific user. Notifications can be set for multiple cases or users at one time and users will have the ability to subscribe to and control optional notifications.

2.11 Maximize facilitated transactions with License Holder

HELMS must minimize user intervention throughout any supported business process while maximizing facilitated transactions (transactions that are enabled and controlled by the system).

Validations must be conducted at the time of data entry so that to the extent feasible, only validated data is updated to the system, including validation of fee payment as a prerequisite of transaction update to the system. Interagency data exchanges and resulting system updates will be completed automatically.

2.12 Support a mobile workforce

Users must be able to access and transact with HELMS on mobile devices based upon their user role and up to the level of operations they are authorized to perform based on their user role.

3 Program Areas and Administrative Units

The Department of Health is the regulatory authority for health professionals, facilities and (some) education/training programs conducting business in the state of Washington. This authority involves a number of functions delegated to business units within the department and a number of health boards, commissions and committees. The following table shows the main functions involved and organizations that fulfill them for the various program areas.

HSQA = Health Systems Quality Assurance (division of DOH)
NCQAC = Nursing Case Quality Assurance Commission
MQAC = Medical Quality Assurance Commission
CQAC = Chiropractic Quality Assurance Commission

Function	**Program Area**								
	Nursing Profession	Nursing Education	Medical	Chiropractic	Pharmacies & Pharmacists	Other "B/C" Professions	58 "Secretary" Professions	"Secretary" Facilities	EMS Training
Disciplinary Authority	NCQAC		MQAC	CQAC	Pharmacy Commission	11 other boards and commissions	Secretary of DOH (Delegated to HSQA Case Management Team)		
Administrative Unit	NCQAC		MQAC	CQAC	Health Systems Quality Assurance Division (HSQA)				
Program Management	NCQAC	NCQAC Education Unit	MQAC	CQAC	HSQA - Office of Health Professions (OHP)				
Credentialing	NCQAC Licensing Unit	NCQAC Education Unit	MQAC Licensing Unit	CQAC Licensing Unit	HSQA - Office of Customer Service (OCS) Credentialing Unit			HSQA - Office of Community Health Service (OCHS)	
Complaint Intake	NCQAC Case Management		MQAC Case Management	CQAC	HSQA - Office of Legal Services (OLS)				
Investigation and Inspection	NCQAC Investigations Unit		MQAC Investigations Unit	HSQA OII	HSQA - Office of Investigation and Inspection (OII)				
Legal Services	NCQAC Legal Unit		MQAC Legal Unit	HSQA OLS	HSQA - OLS				

Compliance Monitoring	NCQAC Compliance Unit	MQAC Compliance Unit	HSQA OLS	HSQA - OLS, Compliance Unit
Front Desk	HSQA Office of Customer Service			
Adjudicative Services	Adjudicative Services Unit (ASU)			
Adjudicative Clerk Services	HSQA - Adjudicative Clerks Office (ACO)			
Online Services	Managed by the Health Technology Services Division			
FBI Background Checks	HSQA - OCS FBI Background Check Unit			
Payment Processing and Revenue Services	DOH Revenue, HSQA Revenue and other external financial institutions			

4 Summary of Requirements by Administrative Unit

Type of use:

X = Administrative Unit uses the process/feature directly

✓= Administrative Unit is a customer (or consumer) of the process or uses the feature indirectly

Requirements	ASU	CQAC	HSQA	NCQAC	MQAC
Credentialing - Online Applications		X	X	X	X
Credentialing - Online Application Intake		X	X	X	X
Credentialing - Paper Application Intake		X	X	X	X
Credentialing - Exam Authorizations		X	X	X	
Credentialing - Electronic Fingerprints		✓		✓	✓
Credentialing - Fingerprint Cards		X	X	X	X
Credentialing - FBI Background Check		✓	X	✓	✓
Credentialing - Background Check		X	X	X	X
Credentialing - Application Review		X	X	X	X
Credentialing - Routine Review		X	X	X	X
Credentialing - Non-Routine Review		X	X	X	X
Credentialing - Incomplete Application		X	X	X	X
Credentialing - Exception Application		X	X	X	X
Credentialing - Approval Process		X	X	X	X
Credentialing - Electronic Renewal Notices		X	X	X	X
Credentialing - Paper Renewal Notices		✓	X	✓	✓
Credentialing - Online Renewals		X	X	X	X
Credentialing - Deficiency Resolution		X	X	X	X
Credentialing - SSN Waiver Review		X	X	X	X
Credentialing - Wall Certificates			X		X
Credentialing - 3rd Party Records		X	X	X	X
Credentialing - Credentials Issued in Error		X	X	X	X
Credentialing - Continuing Education Audits		X	X	X	X
Credentialing - Facility Inspection for License			X		
Credentialing – Home Care Aides			X		
Credentialing – EMS			X		
Education – Nursing Education				X	
Education – EMS Training			X		
Education – Chiropractor Education		X			
Volunteer Retired Provider Program			X		
Health Professionals Shortage Areas			X		

Requirements	ASU	CQAC	HSQA	NCQAC	MQAC
Trauma Service Designation			X		
Emergency Cardiac and Stroke Designation			X		
Medical Program Director and Delegates			X		
Adverse Events Reporting			X		
Trauma Care Fund			X		
Facility Construction - Construction Review			X		
Facility Construction - Certificate of Need			X		
Charity Care Complaint Policy Review			X		
Charity Care Complaint and Appeals Review			X		
Enforcement - Mandatory Suspension		X	X	X	X
Enforcement - Complaint Intake		✓	X	X	X
Enforcement - Case Assessment		X	X	X	X
Enforcement - Investigation		X	X	X	X
Enforcement - Case Disposition		X	X	X	X
Enforcement - Informal Disciplinary Action		X	X	X	X
Enforcement - Substance Abuse Monitoring Programs		X	X	X	X
Enforcement - Formal Disciplinary Action		X	X	X	X
Enforcement - Compliance Monitoring Process		X	X	X	X
Enforcement - Expert Case Review		X	X	X	X
Enforcement - Brief Adjudicative Process		X	X	X	X
Enforcement - Order Release/ Termination		X	X	X	X
Enforcement - Reinstatement After Mandatory Suspension	X	X	X	X	X
Enforcement - Reinstatement After Disciplinary Suspension or Revocation	X	X	X	X	X
Enforcement - Early Remediation Process		X		X	
Enforcement - TERCAP				X	
Enforcement - Evidence Locker		✓	X	✓	✓
Enforcement - Online Services - Complaint Response		✓	✓	✓	X
Enforcement - Online Services - Investigation Records Request		✓	✓	✓	✓
Enforcement - Online Services - Case Status and Other Activity		✓	✓	✓	✓
Enforcement - Prepare Initiating Document		X	X	X	X
Enforcement - Serve Initiating Document		X	X	X	X
Enforcement - Prepare Order		X	X	X	X

Requirements	ASU	CQAC	HSQA	NCQAC	MQAC
Enforcement - Serve Order	✓	✓	X	✓	✓
Enforcement - Default Order Process		X	X	X	X
Enforcement - Waiver Order Process		X	X	X	X
Enforcement - Settlement Process		X	X	X	X
Enforcement - Facilities - Inspection Process			X		
Enforcement - Facilities - Corrections Monitoring - Medical Test Sites			X		
Enforcement - Facilities - Investigation			X		
Enforcement - Facilities - Respondent Online Services			X		
Adjudication - Hearing Schedule	X	✓	X	✓	✓
Adjudication - Submit Prehearing Statement (witnesses, exhibits and motions)		X	X	X	X
Adjudication - Admit Witness, Exhibits and Motions	X				
Adjudication - Prepare Pre-hearing Order	X				
Adjudication - Conduct Hearing	X				✓
Boards/Commission Member Portal		X	X	X	X
Payment Services		✓	X	✓	✓
Refunds		X	X	X	X
Returned Payments (aka NSFs)		X	X	X	X
Scanning		X	X	X	X
Archiving	X	X	X	X	X
Customer Service – Customer Call/Contact		X	X	X	X
Customer Service - Contact Info and Change Process		X	X	X	X
Program Management		X	X	X	X
Configuration - User and Role Management		X	X	X	X
Configuration - Program/Credential Configuration		X	X	X	X
Configuration - Letters and Notification Design		X	X	X	X
Configuration - Form Design		X	X	X	X
Configuration - Report Design		X	X	X	X
Time, Expenses and Chargeback			X		

5 Global User Requirements

This section contains use cases needed by internal users. Internal users are staff of the department that play one or more roles associated with a process or functional area, and are intended users of HELMS.

Please note, not all internal users will necessarily need all of these use cases. But they should be a part of the base set of capabilities that every user gains access to.

5.1 Global Use Cases

5.1.1 Use Case: Provider, Facility and Credential Search

Purpose	To search for a licensed provider, facility, education program or credential.
Description	Easily search for any of the following: • Licensed provider/professional • Licensed facility • (DOH approved) education program • DOH issued credential See the next use case for more information about what is displayed when a credential or credential holder is selected. Please note, the current public facing "Provider Search" tool requires a CAPTHA code. Internal users should not have to enter a CAPTCHA code. It should be easy for them to use this tool from any module in the system.
User Roles	Internal User

5.1.2 Use Case: View public records on credential

Purpose	To view public records on credential

Description	• View public records on status and history of a credential:
	  ○ Credential and status.
	  ○ Endorsements, designations, permits and other sub-credentials.
	  ○ Enforcement actions, if any authorized.
	  ○ Licensee profile (public records only).
	  ○ Other information TBD.
	
	This is different and provides more information than what is displayed on the public facing view of a credential.

User Roles	Internal User

5.1.3 Use Case: View My Dashboard

Purpose	For users to easily access and manage work they are involved in.

Description	• Shows current assignments (whether they be enforcement cases, licensing applications or other tasks).
	• Most prominent:
	  o Priority A enforcement cases.
	  o Past due items - whether past due for the user or for an Applicant or Licensee they are waiting for a response from.
	• Also visual cues for:
	  o Higher priority assignments
	  o Tasks that are coming due
	• Ability to access the assignment/work to be done.
	• Shows key information about each assignment which depends on the type of assignment (enforcement case, licensing application, etc.). Details TBD with Configuration Requirements.

User Roles	Internal User

5.1.4 Use Case: View My Team's Assignments

Purpose	View cases for team so that staff can back each other up, if needed.
Description	• Team members can view cases assigned to their team, the status, next step, due date of next step, etc. • Team members can access the case and perform the required tasks if authorized by their role and user configurations. • Supervisors should have option of easily disabling this feature through a configuration request.
User Roles	Internal User

6 Credentialing

6.1 Applications

6.1.1 Overview

6.1.1.1 Credentialing/Licensing Units

Credential applications, renewals and other credential-related requests are routed to the appropriate credentialing unit as follows:

Credential Type	Administrative Unit	Credentialing Unit
Nursing Professional Credentials (see list below)	Nursing Care Quality Assurance Commission	Nursing Licensing Unit
Nursing Education and Nursing Assistant Training Programs	Nursing Care Quality Assurance Commission	Nursing Education Unit
Medical Professional Credentials • Physician • Physician Limited • Physician Assistant	Medical Quality Assurance Commission	Medical Licensing Unit
Chiropractor Professional Credentials	Chiropractic Quality Assurance Commission	Chiropractic Licensing Unit
All other credentials	Health Systems Quality Assurance Division	Office of Customer Service, Credentialing Unit

- **Online applications, renewals and requests are routed by the system.**
- **Paper applications, renewals and requests are either mailed directly to the appropriate credentialing unit or routed by DOH Revenue.**

6.1.1.2 Application Issue Types

Brief description of the application issue types and the process used to resolve each of them:

Issue Type	Resolution Process	Overview
Deficiency	Deficiency Resolution Process	Deficiencies are issues with the applicant or the application that could potentially be remedied in the required time frame. The Deficiency Notice is sent to inform the applicant of the issues. The Applicant has a *Deficiency Resolution Time Frame* to resolve the issues and send in the required information. If they do not resolve the deficiencies in the required time frame, their application is incomplete (see next).
Incomplete Application	Incomplete Application Process	Generally, the incomplete application is when deficiencies have not been resolved in the required time frame. A warning letter is sent and the applicant is given another chance to respond (an additional 30 days). If no response, the application is closed as *Incomplete* and the Incomplete

		Application Notice is sent to the applicant explaining the reason for closure. The applicant can still remedy the issues and re-apply.
Non-routine Application	Non-routine Application Review	A non-routine application is when an applicant has qualifications which fall into a grey area. The non-routine reviewer has specialized knowledge of the credential and decides if the applicant's qualifications are acceptable or not.
Exception Application	Exception Application Process	An Exception Application is when there are significant concerns that indicate the need to deny the application. All the issues with the application are compiled (ideally) and the Disciplinary Authority delegate(s) decides: • There is sufficient cause for denial. The process leverages the Enforcement Process and a *Notice of Decision* is prepared and served, officially notifying the applicant of the reason for the denial. The applicant can respond by requesting a hearing. After the hearing, the Disciplinary Authority (panel for B/C or Health Law Judge for secretary cases) decides: o Overturn the denial and approve the applicant. o Uphold the decision to deny. • There is not a sufficient basis for denial and the application is authorized for approval.

6.1.1.2.1 Examples of Application Issues (HSQA)

This section contains examples of issues and the Issue Types that HSQA places them in:

Example of an Issue	Issue Type
Application is missing required information.	Deficiency
Applicant does not meet a requirement but could potentially resolve the issue in the required Deficiency Resolution Time Frame. For example, they are missing a course or need to pass an examination.	Deficiency
Applicant does not have a prerequisite license.	Deficiency
Deficiency Notice was sent and the required time frame has passed and the applicant still has not provided the required information.	Incomplete Application
Applicant’s qualification(s) falls into a grey area.	Non-routine Application
Applicant does not have the required education.	Exception Application
Applicant does not have the required examination.	Exception Application
When an applicant has disciplinary or criminal records that cannot be overlooked.	Exception Application

Applicant has an impairment that may impede their ability to perform the duties of the license.	Exception Application
Applicant has a history of substance abuse.	Exception Application

6.1.1.2.2 Examples of Application Issues (Nursing)

This section contains examples off issues and the Issue Types they are associated with in the Nursing Commission:

Example of an Issue	Issue Type
Application is missing required information.	Deficiency
Applicant does not meet a requirement but could potentially resolve the issue in the required *Deficiency Resolution Time Frame*. For example, they are missing a course or need to pass an examination.	Deficiency
Applicant does not have a prerequisite license.	Deficiency
Deficiency Notice was sent and the required time frame has passed and the applicant still has not provided the required information.	Incomplete Application
Applicant's qualification(s) fall into a grey area.	Non-routine Application
Applicant does not have the required education.	Incomplete Application
When an applicant has disciplinary or criminal records that cannot be overlooked.	Exception Application
Applicant has an impairment that may impede their ability to perform the duties of the license.	Exception Application
Applicant has a history of substance abuse.	Exception Application

6.1.1.2.3 Examples of Application Issues (Medical)

This section contains examples off issues and the Issue Types the Medical Commission assigns them to:

Example of an Issue	Issue Type
Application is missing required information.	Deficiency
Applicant does not meet a requirement but could potentially resolve the issue in the required *Deficiency Resolution Time Frame*. For example, they are missing a course or need to pass an examination.	Deficiency
Applicant does not have a prerequisite license.	Deficiency
Deficiency Notice was sent and the required time frame has passed and the applicant still has not provided the required information.	Incomplete Application

Applicant's qualification(s) fall into a grey area.	Non-routine Application
Applicant does not have the required education.	Deficiency
When an applicant has disciplinary or criminal records that cannot be overlooked.	Exception Application
Applicant has an impairment that may impede their ability to perform the duties of the license.	Exception Application
Applicant has a history of substance abuse.	Exception Application

6.1.1.3 Application Status Tracking

To properly track the status of an application three status fields will be needed.

- **Application Status** - tracks the overall status of the application.
- **Application Form Status** - tracks the status of the application form and attachments. These are the items we expect from the applicant.
- **Additional Records Status** - tracks the status of the additional records that come separately from the application form (fingerprint cards, transcripts, etc.).
- **Payment Status** - tracks the status of the payment.

Application Status	Conditions
Started	After an online application has started, before it has been submitted.
Received	After an online application has been submitted. Or after a paper application has been input.
Ready for Review	At the minimum: • Application Form status (see below) must be Complete. • Payment Status must be Received. Some programs may want further limitations before an application is ready for review, for example: • Additional Records have been *Completely Received*. • Payment Sub Status is *Fully Paid*. These should be configurable options by program area.
In Review	After the Application Review process has started.
Exception Application	Critical issues were found and the application was flagged as an Exception Application. This means the application is going through the Enforcement/Legal Process for a final decision.
Approved	Application has been approved.
Denied	An Exception Application went through the Enforcement/Legal process and was denied.
Closed, Incomplete	The applicant did not respond in time to deficiencies and the decision was made to close the application as incomplete.

Application Form Status	Condition
Pending	The application form has been submitted but not all required information and attachments were provided.
Complete	When the application form and required attachments are complete and in the system in the required structured/system format. See Example of Application Form Completeness Checks below.

Additional Records Status	Condition
Pending	The system should track the status of each required additional record. If any of the required records have not been received, the Additional Records status is incomplete.
Complete	When all required additional records have been received.

Payment Status	Sub status	Condition
Not Received		Payment has not been received. This should not apply to online applications as the payment would be required before the application can be submitted.
Received	Under Paid	Payment has been received but it is partial.
	Fully Paid	Payment has been received and it is correct.
	Over Paid	Payment was too much - refund will be issued. After refund is issued, the status goes to *Fully Paid*.
Returned		If payment is returned (due to non-sufficient funds or some other issue).

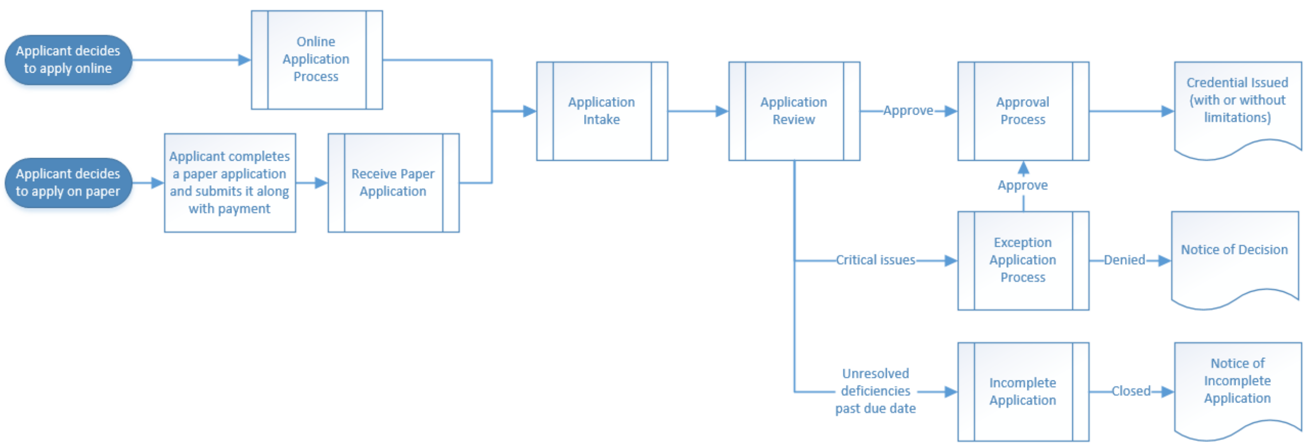
6.1.1.4 Application Process

6.1.1.4.1 Process: Application Process

Purpose	To provide a way for applicants to easily apply for a credential and for the department to reliably and efficiently review and decide on their application.
Inputs	• Application form and possible attachments • Payment • Additional records and information from third parties

Outputs	• If application is approved, the issued credential (sometimes with limitations).
	• Otherwise:
	  ○ Notice of Incomplete Application, if application is closed due to being incomplete.
	  ○ Notice of Decision, if the application is denied.

Notes	



6.1.1.4.2 User Roles

There are a number of roles involved in the Application Review process. These roles are defined here as user roles so that credentialing management can easily assign these roles as they see fit to various credentialing staff. Staff can be assigned to more than one role.

- **Application Intake** - Establish the contact record. Prepare and mail fingerprint card packets. Create record of paper application and input required information. Check application for completeness. Receive additional records/documents from applicant and 3rd parties.
- **Routine Reviewer** - perform routine review of application. Identify deficiencies, critical and non-routine issues.
- **Non-routine Review** - review and decide on issues identified as non-routine, request additional records, if needed.
- **Background Check** - perform background check with Washington State Patrol and the National Practitioner Database.
- **FBI Background Check** - use designated equipment in a limited access room (not connected to the system) to submit requests for FBI background checks and receive results.

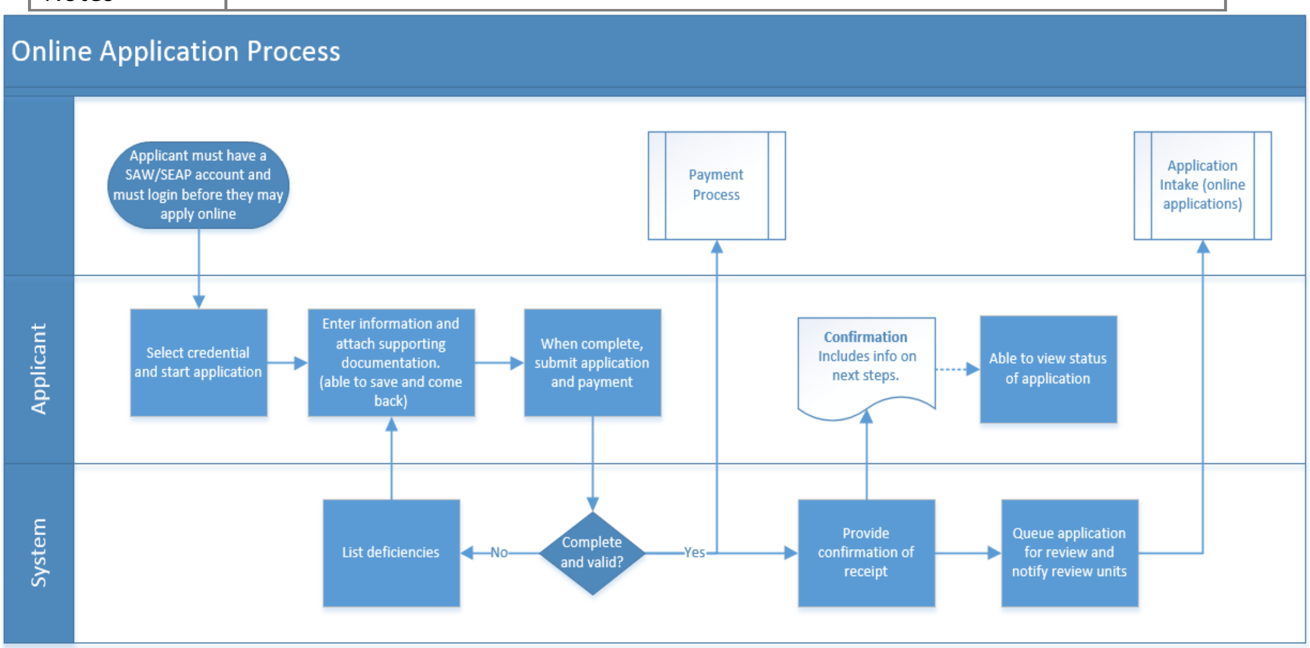
- **Exam Authorization Reviewer** - reviews an application to see if the applicant qualifies for an exam they must take.
- **Deficiency Coordinator** - generate and send deficiency letter to Applicant.
- **Exception Application Coordinator** - Check that applicant report background properly, log deficiency if not. Summarize/log critical issues found. Assign EA to reviewers. Assign EA to an upcoming panel meeting. Enter decision made by the decision makers.
- **Incomplete Applications Coordinator** - sends closure notice and closes application.
- **Application Approver** - does the final complete review and if everything looks good, approves the application and issues the credential.
- **Credentialing Supervisor** - Credentialing supervisors are responsible for their team's work load and performance management. They also verify and are involved in decisions on Exception and Incomplete Applications.

6.1.2 Online Application Process

6.1.2.1 Processes

6.1.2.1.1 Process: Online Application Process

Purpose	To provide applicant with the ability to create, update, save, complete and submit their application online.
Owner	
Inputs	• Applicant inputs
Outputs	• Completed application • Attachments (if required) • Payment (if required)
Notes	



6.1.2.2 Online Application Use Cases

6.1.2.2.1 Use Case: Start Application for a New License or Credential

Purpose	For applicant to start an online application for a new license or credential.
Description	• The applicant must be a registered user (See Online Customer Services for more information). • Applicant selects the license/credential to start the application process. • They may save the application and return later to keep working on it.
User Roles	Applicant

6.1.2.2.2 Use Case: Update Application

Purpose	To update the various parts of an application and attach documents and records.
Description	• Applicant would have an easy way to return to an application that they have started. • Update the various sections. See example of current paper application form. • If the applicant has used the department's online licensing services, their personal, contact and background information would already be in the system. The system makes this information available and/or requests confirmation. If the applicant has not previously used the department's online licensing services, they must provide this information. • For out of state applicants provide information about fingerprints and FBI background check. Add fee to total fee. • Ability to attach documents required for credential type. • As information is being entered, the system would provide field-level validations where possible. Details TBD later.
User Roles	Applicant

6.1.2.2.3 Use Case: Submit Application

Purpose	To submit a credential application to the department.

<table>
<tr><td>Description</td><td>System performs a completeness and validation check, checking to make sure that all required information and attachments have been provided. Where possible the inputs are validated. See sample Completeness Checks for an Advanced Registered Nurse Practitioner license below.
If any of the checks do not pass, the Applicant is given a list of the deficiencies found and returns to Update Application (see use case).
If all checks pass, including a check on the payment information, the system:
Provides a confirmation with information about next steps. If fingerprints are required, the instructions will include information on how they will provide.
Queues the application for review and notifies the credentialing unit.</td></tr>
<tr><td>User Roles</td><td>Applicant</td></tr>
</table>

6.1.2.2.4 Use Case: View Status of Application

<table>
<tr><td>Purpose</td><td>For the Applicant to view the status of an application</td></tr>
<tr><td>Description</td><td>After an application is submitted, the Applicant can easily:
View the application they submitted
View the status of their application, including:
When it was submitted (and received by the department)
Payment confirmation
Status of records to be provided by 3rd parties (received or not).
Status of fingerprints (if required):
Location of fingerprint cards (if applicant chose to provide finger print paper cards).
Status of LiveScan finger prints (received or not)
Application Complete - when all 3rd party records and finger prints have been received.
After review is complete:
If denied, Notice of Decision describing the issues found.
If approved, they would be notified.
Once an applicant is approved, they are a "licensee" and have access to their credential information and any online services related to their license/credential.</td></tr>
<tr><td>User Roles</td><td>Applicant</td></tr>
</table>

6.1.2.2.5 Use Case: Submit Additional Information

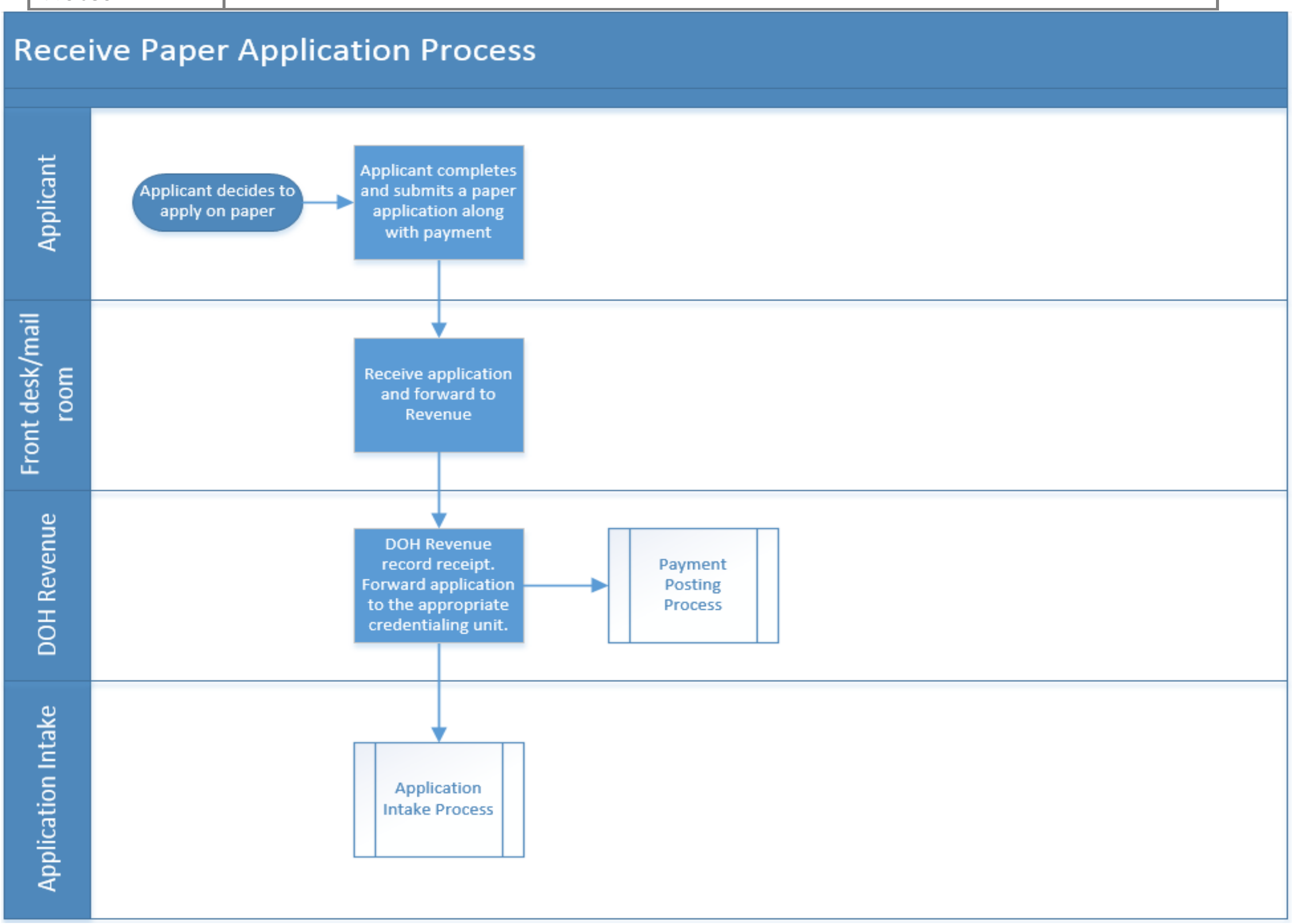
Purpose	To submit additional documents, records or information in response to a deficiency notice or request.
Description	
User Roles	Applicant

6.1.3 Application Intake

6.1.3.1 Processes

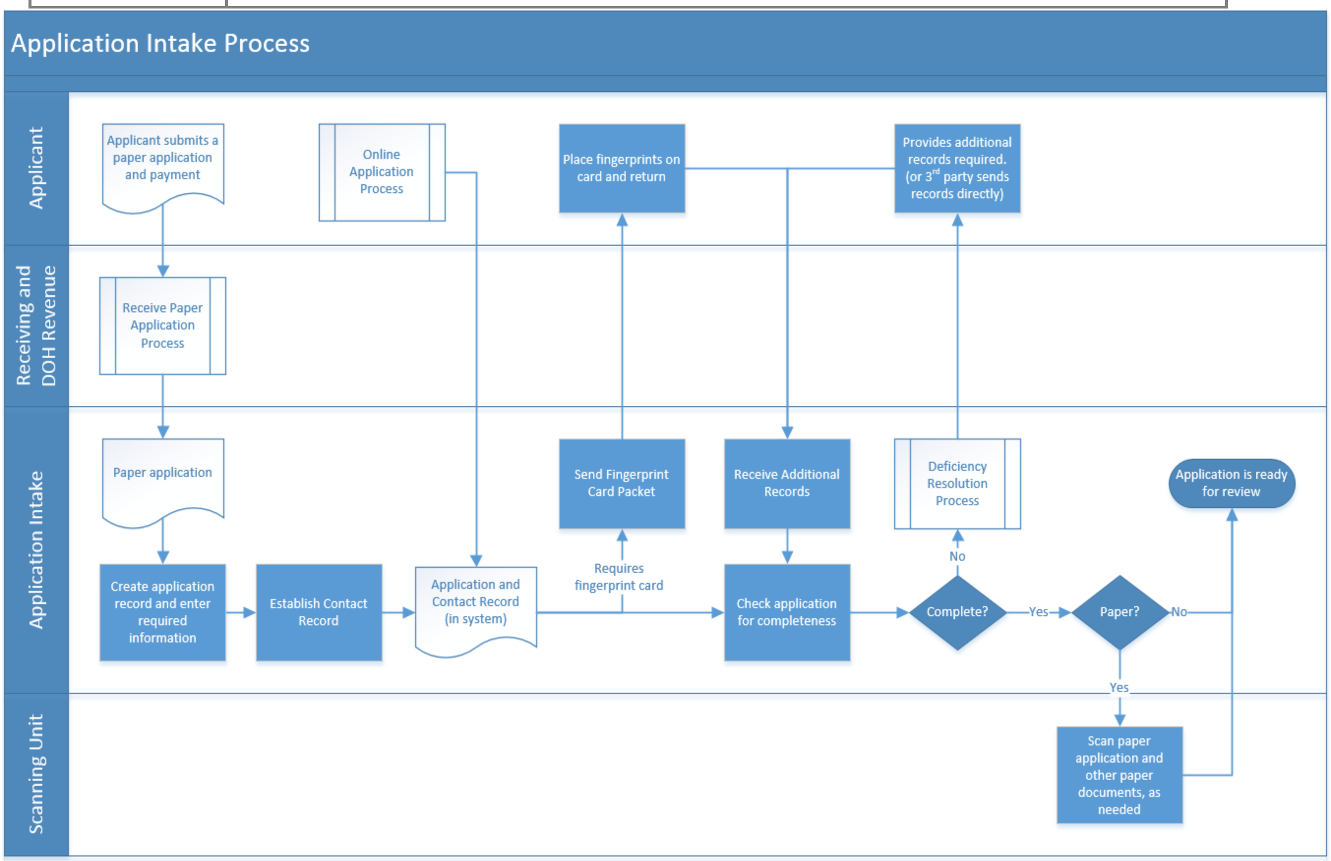
6.1.3.1.1 Process: Receive Paper Application Process

Purpose	To receive and route paper applications to the appropriate Application Intake unit.
Owner	
Inputs	• Applications received on paper (including attachments and payment, if required).
Outputs	• Application ready for standard intake activity.
Notes	



6.1.3.1.2 Process: Application Intake Process

Purpose	A variety of activity to ensure the application is complete before the review process starts.
Owner	
Inputs	• Application, either paper or online application along with payment • Additional records
Outputs	• Deficiency Notice • Application ready for review
Notes	



6.1.3.2 Application Intake Use Cases

6.1.3.2.1 Example of Intake Checks

Please note, there are three sets of mutually exclusive intake checks:

1. Checks performed by the online application process - these are performed by the system.
2. Checks performed on the paper application intake process - these are performed by Application Intake Staff. They will generally mirror the online application checks.
3. Checks performed on both - performed by Application Intake staff.

Checklists are to be developed (TBD) but following are some examples of types of checks:

Application Section	Required Information	Alternative
Personal Information	SSN (required 9 digits)	**Provide SSN Waiver Request (see below)**
	First and Last Names	
	Birth date	
	Address	
	etc.	
Personal/Background Data	Have you ever possessed, ... (Yes or No)	
	Etc.	
SSN Waiver Request (only if no SSN)	Reason selected from standard list or "other" chosen and explanation provided.	None, the waiver request must be provided if the SSN was not provided.
Etc.		

Checks that apply to the **Dentist**:

Application Section	Required Information	Alternative
Basic application	See standard checks above	
Dental Specialty	Dental School and Year of Graduation	
	Specialty	
Dental Education and Postgraduate Training	List with:	
	School attended	
	Diploma.	
	Number of years attended	
	Date started	
	Date ended	
Etc.		

For conceptual representation of the completeness checks needed. Details TBD later.

6.1.3.2.2 Example of Intake Checks

Please note, there are three sets of mutually exclusive intake checks:

1. Checks performed by the online application process - these are performed by the system.
2. Checks performed on the paper application intake process - these are performed by Application Intake Staff. They will generally mirror the online application checks.
3. Checks performed on both - performed by Application Intake staff.

Checklists are to be developed (TBD) but here are some examples of types of checks:

Application Section	Required Information	Alternative
Personal Information	SSN (required 9 digits)	**Provide SSN Waiver Request (see below)**
	First and Last Names	
	Birth date	
	Address	
	etc.	
Personal/Background Data	Have you ever possessed, ... (Yes or No)	
	Etc.	
SSN Waiver Request (only if no SSN)	Reason selected from standard list or "other" chosen and explanation provided.	None, the waiver request must be provided if the SSN was not provided.
Etc.		

Checks that apply to the **ARNP**:

Application Section	Required Information	Alternative
Basic application	See standard checks above	
RN License	Applicant must already have an RN license.	
Professional Education (multiple lines)	Name	
	Graduation Date	
	Certificate/Diploma/Degree granted	
National Certification	Specialty	
	National certifying body	
	Date of recognition	
Etc.		

For conceptual representation of the completeness checks needed. Details TBD later.

6.1.3.2.3 Use Case: Create Application Record (for paper applications only)

Purpose	Create application record
Description	• Create an application record. • Input required information (details TBD later).
User Roles	Application Intake

6.1.3.2.4 Use Case: View Applications in Intake

Purpose	To view new applications and be able to perform intake functions as needed.
Description	• Browse applications that are in the intake process. See application type (paper or online), credential type, applicant name, date received, status and Intake Staff working on it. • Be able to open and view details on each application; and perform intake functions as needed - see use cases.
User Roles	Application Intake

6.1.3.2.5 Use Case: Enter Required Information from Paper Application

Purpose	To complete the application record with information from the paper application.
Description	• This is for the completion of the application record (already created) based on information on the paper application. • Nice to have: automated input using character recognition. System presents the data as recognized alongside the scanned image for easy check by application intake staff. • Deficiencies are identified by the system where possible. Additional deficiencies are identified by Application Intake staff.
User Roles	Application Intake

6.1.3.2.6 Use Case: Establish Applicant Contact Record

Purpose	To properly establish the applicant's contact record.

Description	• Use applicant's name, address, SSN (if provided) and email to determine if the applicant has an existing contact record.
	    o If so, associate the application with the contact record.
	    o Otherwise create new contact record.

User Roles	Application Intake

6.1.3.2.7 Use Case: View Applicants Needing Fingerprint Card

Purpose	View list of applicants/applications that require a fingerprint card.
Description	• Fingerprint cards must be sent if a FBI Background Check is needed: o Applicant is from out of state or there is a criminal/disciplinary record on applicant, and an FBI Background Check was not done on the applicant in the past 6 months. • System shows the list and provides option to Prepare Fingerprint Packet (see next use case).
User Roles	Application Intake

6.1.3.2.8 Use Case: Prepare Fingerprint Card Packet

Purpose	Prepares a fingerprint card packet for the applicant.
Description	• System prints a mailing label, cover letter and instructions for the applicant. • User writes the credential # and type on fingerprint card and mails the packet. • System records date/time and the user who prepared the packet.
User Roles	Application Intake

6.1.3.2.9 Use Case: Receive 3rd Party Records

Purpose	This is a placeholder for a variety of automated mechanisms for receiving application related records from 3rd parties.
Description	There are a number of 3rd parties that provide records to the department related to applications and applicants. There will be a varying degree of automation possible for various 3rd parties: • Electronic files - upload and process. • Automated data feeds. • See External Interfaces for more information.
User Roles	System

6.1.3.2.10 Use Case: Input Additional Records

Purpose	To manually input information/records received from the applicant or 3rd parties.
Description	• User enters information into applicant records.
User Roles	Application Intake

6.1.3.2.11 Use Case: Check for Completeness

Purpose	To check that an application is complete including payment and any attachments required for the credential type.
Description	• Online applications should have already been checked for completeness by the system. • Intake staff log any deficiencies.
User Roles	Application Intake

6.1.3.2.12 Use Case: Prepare Deficiency Notice

Purpose	To notify the applicant of deficiencies in their application.

Description	• This initiates the deficiency resolution process - see process and use cases.
User Roles	Application Intake

6.1.3.2.13 Use Case: Scan Document

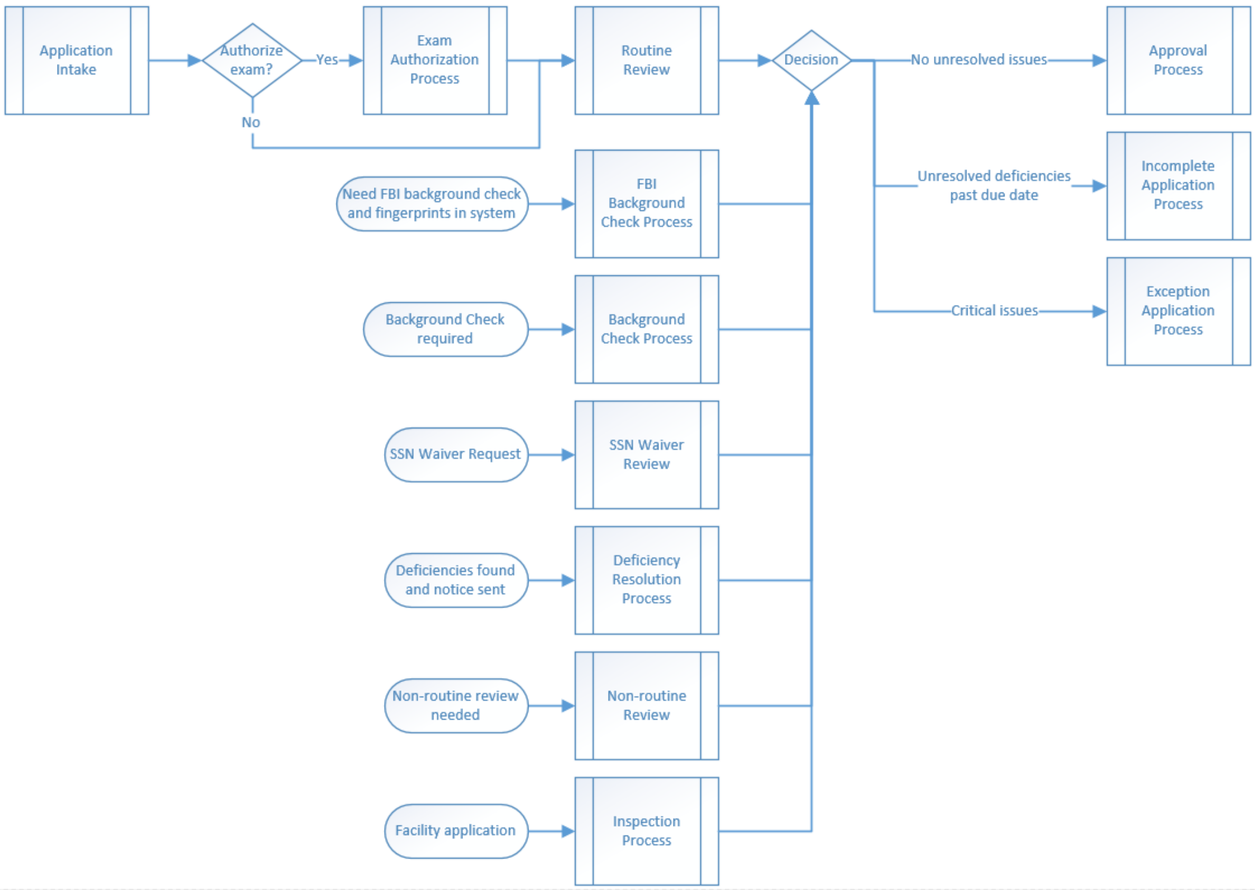
Purpose	To scan a paper application, attachments, or other documents received related to the application.
Description	• Scan document. • Identify type of document and attach it (index) to application. Please note, fingerprint cards may not be scanned into the system. They must go directly to the FBI Background Check unit where they are scanned and transmitted to the Washington State Patrol with special equipment that is not in scope for this project.
User Roles	Scanning

6.1.4 Application Review Process

6.1.4.1 Application Review Processes

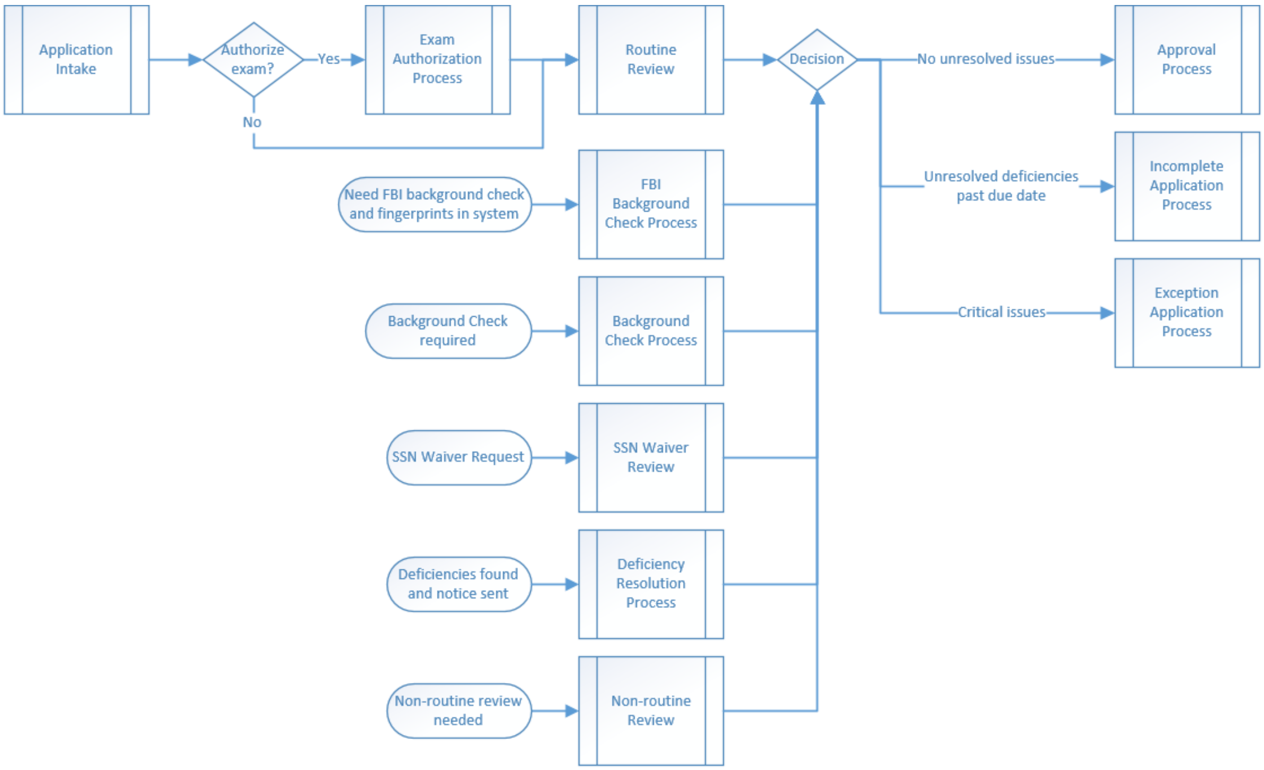
6.1.4.1.1 Process: Application Review Process

Purpose	To review an application and related records to determine if the applicant qualifies for the credential.
Owner	
Inputs	• Application form • Payment status • Attachments/supporting documents • 3rd party records
Outputs	Decision on next step • Unresolved deficiencies - close as Incomplete Application. • Critical issues identified - application goes to the Exception Application process. • Otherwise the application goes to the Approval Process.
Notes	



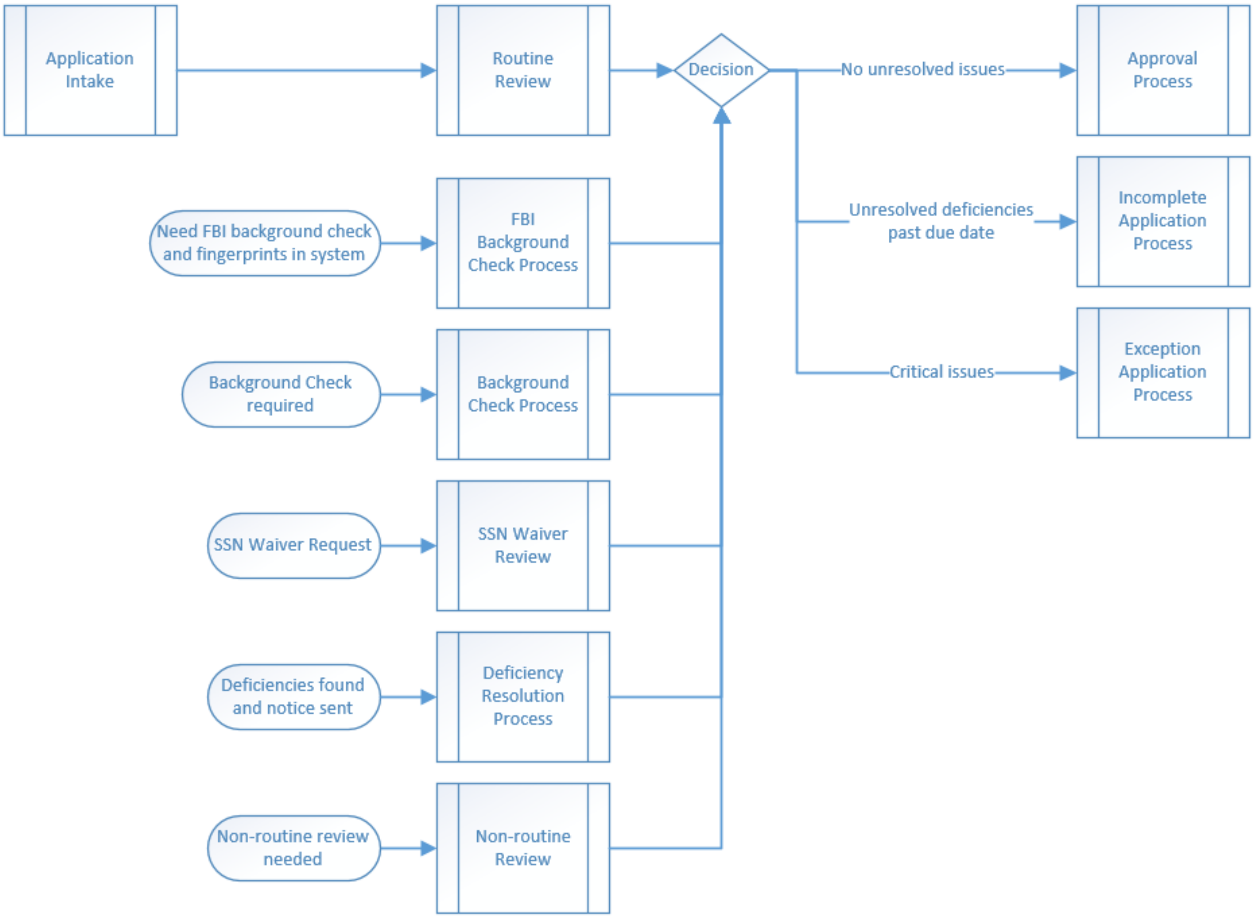
6.1.4.1.2 Process: Application Review Process

Purpose	To review an application and related records to determine if the applicant qualifies for the credential.
Owner	
Inputs	• Application form • Payment status • Attachments/supporting documents • 3rd party records
Outputs	Decision on next step • Unresolved deficiencies - close as Incomplete Application. • Critical issues identified - application goes to the Exception Application process. • Otherwise the application goes to the Approval Process.
Notes	



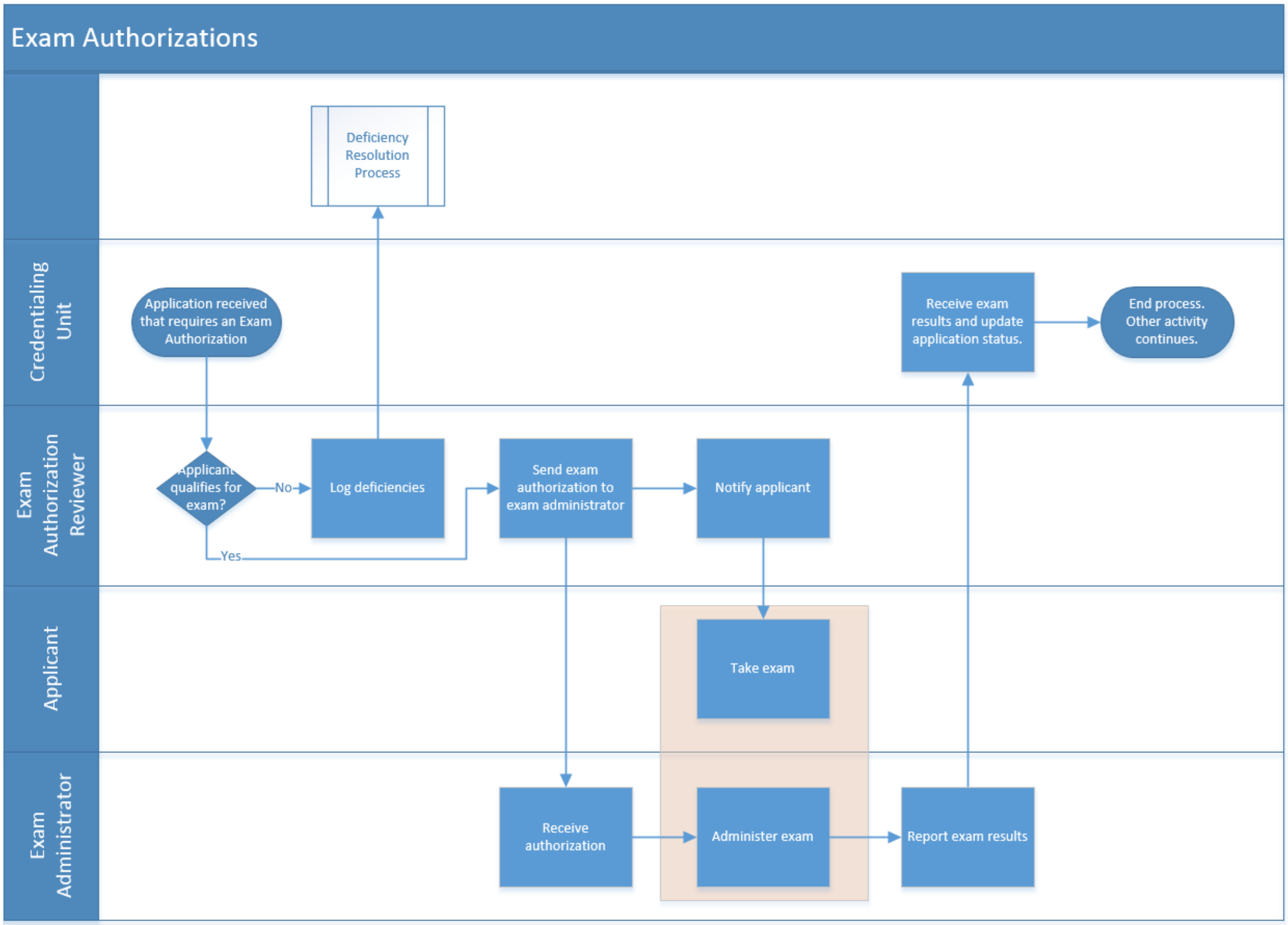
6.1.4.1.3 Process: Application Review Process

Purpose	To review an application and related records to determine if the applicant qualifies for the credential.
Owner	
Inputs	• Application form • Payment status • Attachments/supporting documents • 3rd party records
Outputs	Decision on next step • Unresolved deficiencies - close as Incomplete Application. • Critical issues identified - application goes to the Exception Application process. • Otherwise the application goes to the Approval Process.
Notes	



6.1.4.1.4 Process: Exam Authorization Process

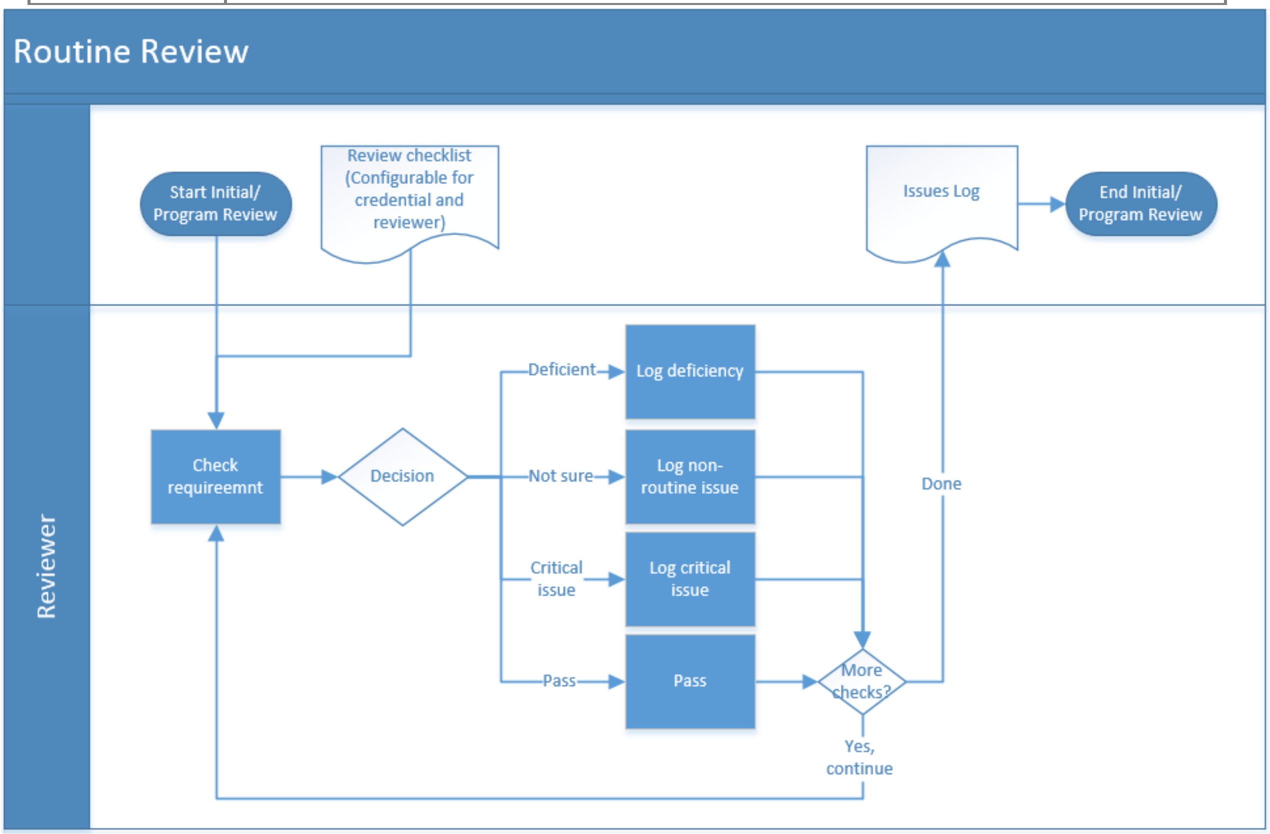
Purpose	To authorize applicant to take an exam required for the credential they are applying for.
Owner	
Inputs	Application requiring an exam authorization.
Outputs	Exam results.
Notes	Please note, this process is not intended for exams that do not require pre-authorization. When an exam does not need pre-authorization, the retrieval of the exam results falls under the "3rd Party Records" process.



6.1.4.1.5 Process: Routine Review

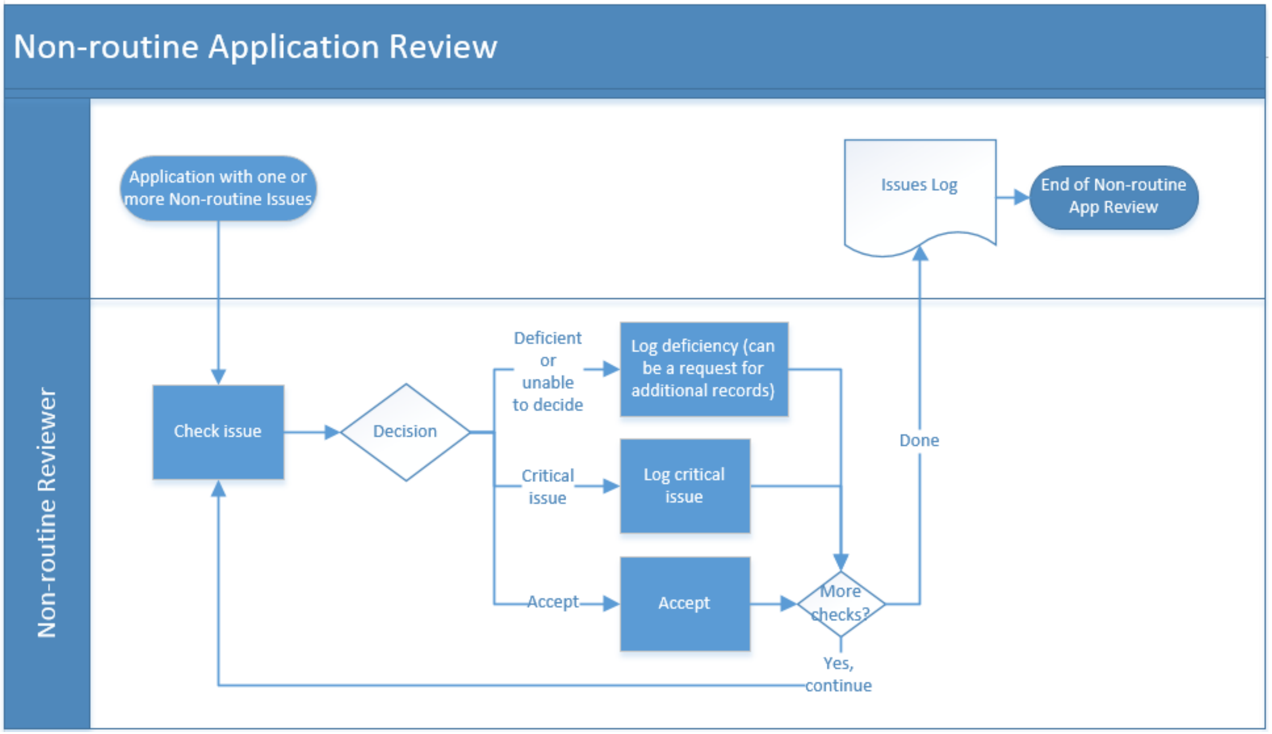
Purpose	To review an application to make sure the applicant meets the credential's qualification requirements.
Owner	
Inputs	• Complete application and attachments • 3rd party records that are required for the review • Check list for the reviewer
Outputs	• Log of deficiencies found, if any • Log of critical issues found, if any • Log of non-routine issues found, if any

Notes	A program can configure any number of routine reviews to be a part of the Application Review process. These routine reviews can be configured to occur sequentially or in parallel. Each reviewer is responsible for reviewing a part of the application. Their part of the review is configured using a checklist. This is the process that a single reviewer would go through.



6.1.4.1.6 Process: Non-routine Review

Purpose	To review the non-routine issues found in an application, if any, and make a pass or deny decision (on the non-routine issues only).
Owner	
Inputs	• Application • List of non-routine issues identified by other reviewers.
Outputs	• List of critical issues or deficiencies that may have been logged.
Notes	Part of the Application Review process but only initiated if non-routine issues are identified. An example of a non-routine issue is education from an institution that is not on our list of approved/accredited institutions (if there is a chance that the education program may be suitable for the desired credential).



6.1.4.2 Application Review Use Cases

6.1.4.2.1 Use Case: Create Review Assignments

Purpose	To create the review assignments needed.

<table>
<tr><td>Description</td><td>For each application that is Ready for Review, the system creates review assignments as follows:

<table>
<tr><th>Review Sub process</th><th>Required if</th><th>Prerequisite</th></tr>
<tr><td>Exam Authorization</td><td>Applicant applies for/requests it - some credential types only.</td><td>Application is ready for review.</td></tr>
<tr><td>Routine Review</td><td>Always required</td><td>Required records have been received (including exam results).</td></tr>
<tr><td>Background Check</td><td>All applications need one of the following:
FBI Background Check, if out of state applicant or applicant has a disciplinary/criminal record.
Standard Background Check (Washington State Patrol and NPDB), for all others.</td><td>FBI Background Check can start after the fingerprint cards are returned with prints. The cards are forwarded to the FBI Background Check unit.

Standard Background Check can start when application is ready for review. Currently the background check is delayed till after the Routine Review completes successfully.</td></tr>
<tr><td>SSN Waiver Review</td><td>SSN is not provided. The Online and Intake processes ensure the SSN Waiver Request was included before review starts.</td><td>Application is ready for review.</td></tr>
<tr><td>Non-routine Review</td><td>Another reviewer encounters a qualification that they are not sure about.</td><td>Non-routine issues have been identified.</td></tr>
<tr><td>Inspection Process</td><td>All facility applications.</td><td>Application is ready for review.</td></tr>
</table>
Credentialing Management can identify additional prerequisites for review sub processes.
Assignments are queued up to the appropriate credentialing team. Supervisors configure how those assignments are given to team members.</td></tr>
<tr><td>User Roles</td><td>System</td></tr>
</table>

6.1.4.2.2 Use Case: Assign Reviewer

Purpose	To assign a reviewer to an application for a particular type of review.
Description	
User Roles	Supervisor

6.1.4.2.3 Use Case: View Applications Pending Exam Authorization

Purpose	To view the applications that are waiting for exam authorization.
Description	• Shows applications that are ready for review and require exam authorization.
User Roles	Exam Authorization Reviewer

6.1.4.2.4 Use Case: Review Application for Exam Authorization

Purpose	
Description	• Review Application • Decide if applicant qualifies for exam (requires a checklist). • If so, authorize. • If not, identify deficiencies and kick off Deficiency Resolution process.
User Roles	Exam Authorization Reviewer

6.1.4.2.5 Use Case: View Applications in Background Check

Purpose	To view and access applications that are in the Background Check process.
Description	• See applications that are ready for Background Check and the type of Background Check (FBI or WSP). • Once the Background Check work starts, the Background Check status becomes *In Progress*.
User Roles	Background Check

6.1.4.2.6 Use Case: Summarize Background Check Results

Purpose	To enter a summary of the background check results.
Description	• Background checks are performed in WATCH, NPDB, FBI and potentially other systems. • If there is a critical issue that indicates an Exception Application, the Background Check agent flags the application and it is forwarded to a supervisor. • Supervisor summarizes the background check results.
User Roles	Background Check Supervisor, Credentialing Supervisor, Credentialing Manager

6.1.4.2.7 Use Case: Update Application Status When Inspection Complete

Purpose	To update the application status when inspection is complete

Description	• The Inspection process is documented in the Enforcement module. The same process is used for facility license applications. • When the Inspection Report is approved by the Inspection Supervisor, the system updates the status of the application and provides a link to the report from the application.
User Roles	System

6.1.4.2.8 Use Case: Perform Routine Review

Purpose	Perform routine review to ensure applicant is qualified for the credential.
Description	• All reviews are driven by a configurable checklist. The checklists are configurable by Credential. • For each requirement on the reviewer's checklist, the reviewer examines the relevant information on the application and decides: ○ **Accept**, means the applicant meets the requirement. ○ **Deficiency**, the applicant does not meet the requirement or the application is missing information. ○ **Critical Issue**, the issue is critical and will likely result in an Exception Application. ○ **Not sure**, if the reviewer is not sure if the applicant meets the requirement. System adds it to the Non-routine Issues Log. • Only when all items on the checklist have been decided, is the reviewer's assignment complete. However if critical issues or deficiencies have been logged a Review Coordinator can: ○ Initiate the Exception Application Process, if any critical issues have been logged. ○ Initiate the Deficiency Resolution Process, if any deficiencies have been logged (but no critical issues).
User Roles	Routine Reviewer

6.1.4.2.9 Use Case: Perform Non-Routine Review

Purpose	

Description	• Review is driven by list of non-routine issues identified by a different reviewer. a configurable checklist.
	• For each issue, the reviewer examines the relevant information on the application and decides:
	  ○ **Yes or Accept**, means the applicant meets the requirement.
	  ○ **Critical issue**, the applicant does not meet the requirement. System adds it to the *Critical Issues Log*.
	  ○ **Deficiency**, the applicant does not meet the requirements. System logs the deficiency.
	  ○ **Request additional records**, in some cases, an issue can be resolved by additional records. The reviewer provides a description of the records requested. These are logged as a special type of deficiency and the *Deficiency Notice* includes them with an explanation as to why these records are being requested.

User Roles	Non-routine Reviewer

6.1.4.2.10 Use Case: Request Approval of a School, Educational Program or Course

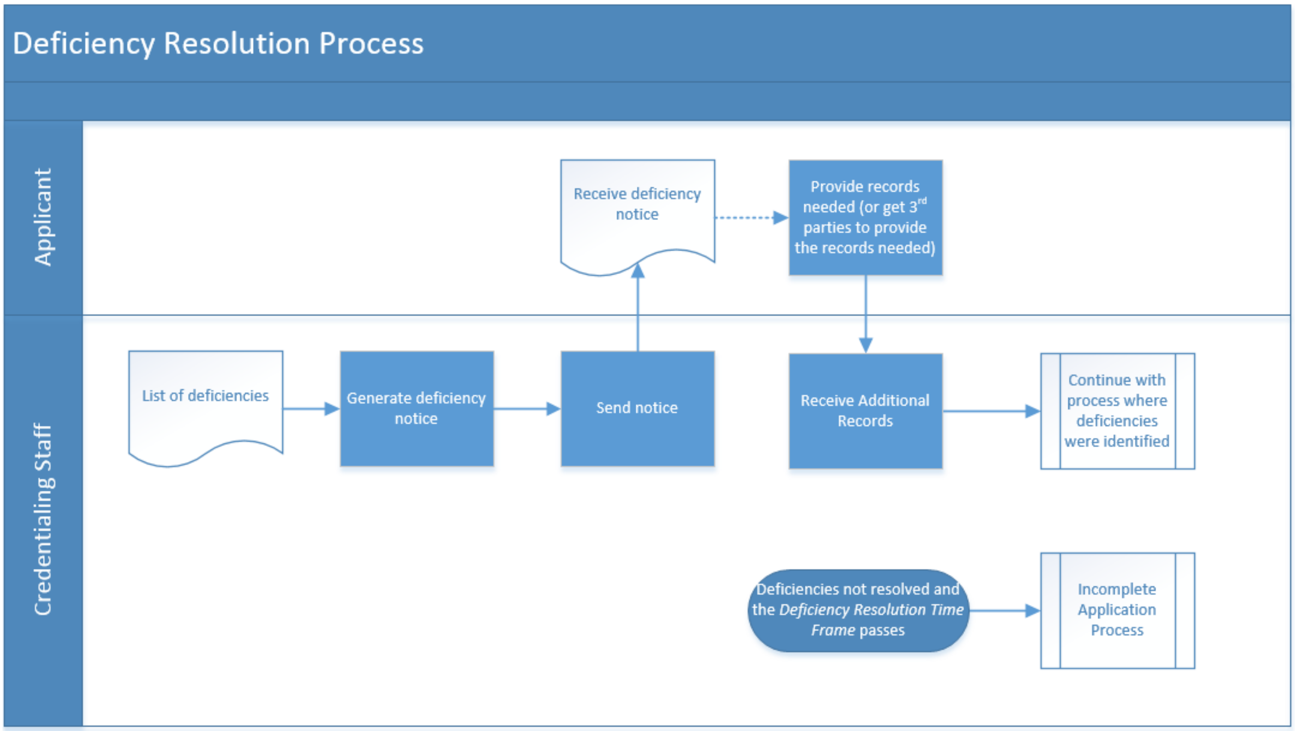
Purpose	
Description	• If a reviewer encounters a school, educational program or course that is not on the approved list, they research it and if acceptable, they request it be added to the list of approved schools/programs/courses. • System routes the request to the appropriate Program Manager.
User Roles	Reviewer

6.1.5 Deficiency Resolution and Incomplete Applications

6.1.5.1 Deficiency Resolution and Incomplete Application Processes

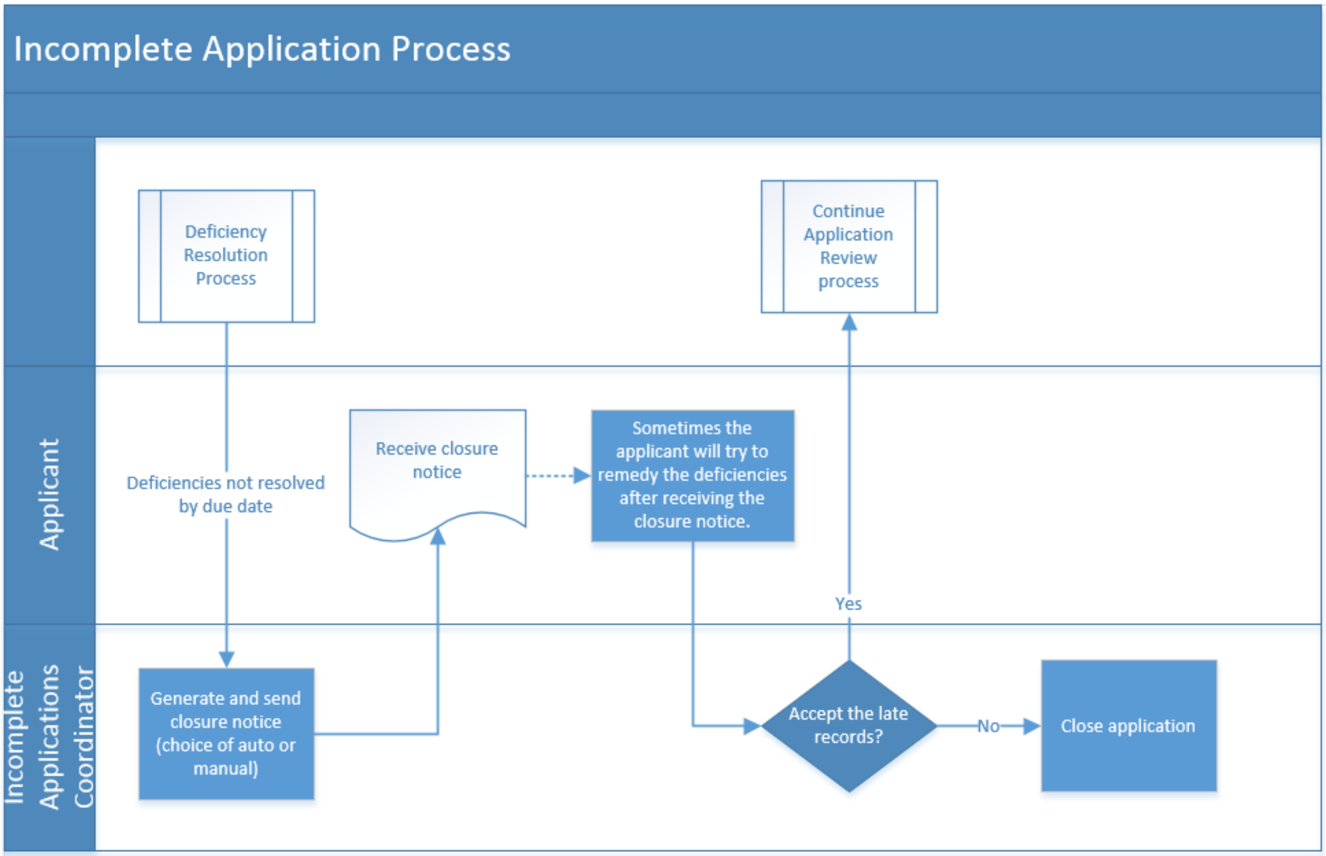
6.1.5.1.1 Process: Deficiency Resolution Process

Purpose	To work with the applicant to resolve a deficiency with the application.
Owner	Licensing Unit
Inputs	List of deficiencies
Outputs	If resolved, the process continues with Application Review. If not resolved, the Incomplete Application process is initiated.
Notes	



6.1.5.1.2 Process: Incomplete Application Process

Purpose	To close an application as incomplete and notify the applicant.
Owner	
Inputs	List of deficiencies not resolved by the resolution deadline.
Outputs	Closure notice. The exact name of this notice is to be determined by each program area.
Notes	



6.1.5.2 *Deficiency Resolution and Incomplete Application Use Cases*

6.1.5.2.1 Use Case: View Applications with Deficiencies

Purpose	To view applications with deficiencies and be able to start the deficiency resolution process.
Description	• Shows open applications with deficiencies. • Be able to see the status of the reviews in progress for each application. • Be able to start the deficiency resolution process (Generate Deficiency Notice - see use case).
User Roles	Deficiency Coordinator

6.1.5.2.2 Use Case: Generate Deficiency Notice

Purpose	To generate a deficiency notice.
Description	From an application with deficiencies identified, generate the notice. System generates (using configurable template).
User Roles	Deficiency Coordinator

6.1.5.2.3 Use Case: Receive records from Applicant in response to Deficiency Notice

Purpose	To return an application for review after records received from Applicant in response to a deficiency.
Description	• This is for records received on paper in response to a Deficiency Notice. • Upload or scan records and attach to application. • System returns to the review where deficiencies were logged.
User Roles	Deficiency Coordinator

6.1.5.2.4 Use Case: View Incomplete Applications

Purpose	To view incomplete applications - applicants with deficiencies that have not been resolved by the due date.

Description	• Shows a list of incomplete applications - applications where:
	    ○ There are unresolved deficiencies, and
	    ○ the due date provided in Deficiency Notice has passed.
	• Provides the ability to Generate Incomplete Application Notice (see use case).

User Roles	Incomplete Application Coordinator

6.1.5.2.5 Use Case: Generate Incomplete Application Notice

Purpose	To generate an Incomplete Application Notice
Description	From an incomplete application, generate the notice. System uses configurable template to generate.
User Roles	Incomplete Application Coordinator

6.1.5.2.6 Use Case: Send Notice

Purpose	To electronically send a notice to the applicant.
Description	• Systems sends notice by email if the applicant has agreed to receive notices by email. • For online applicants, the system makes the notice available with the application status. • System logs the date, time the notice was sent.
User Roles	Credentialing Staff

6.1.5.2.7 Use Case: Print Notice

Purpose	To print one or a group of notices.

Description	• For individual or group mailing of notices. • Prints the notice(s) and mailing labels. • System logs when they were printed.
User Roles	Credentialing Staff

6.1.5.2.8 Use Case: Close Application

Purpose	To close an application that is incomplete.
Description	• Generate and send the Incomplete Application Notice. • Close the application.
User Roles	Incomplete Application Coordinator

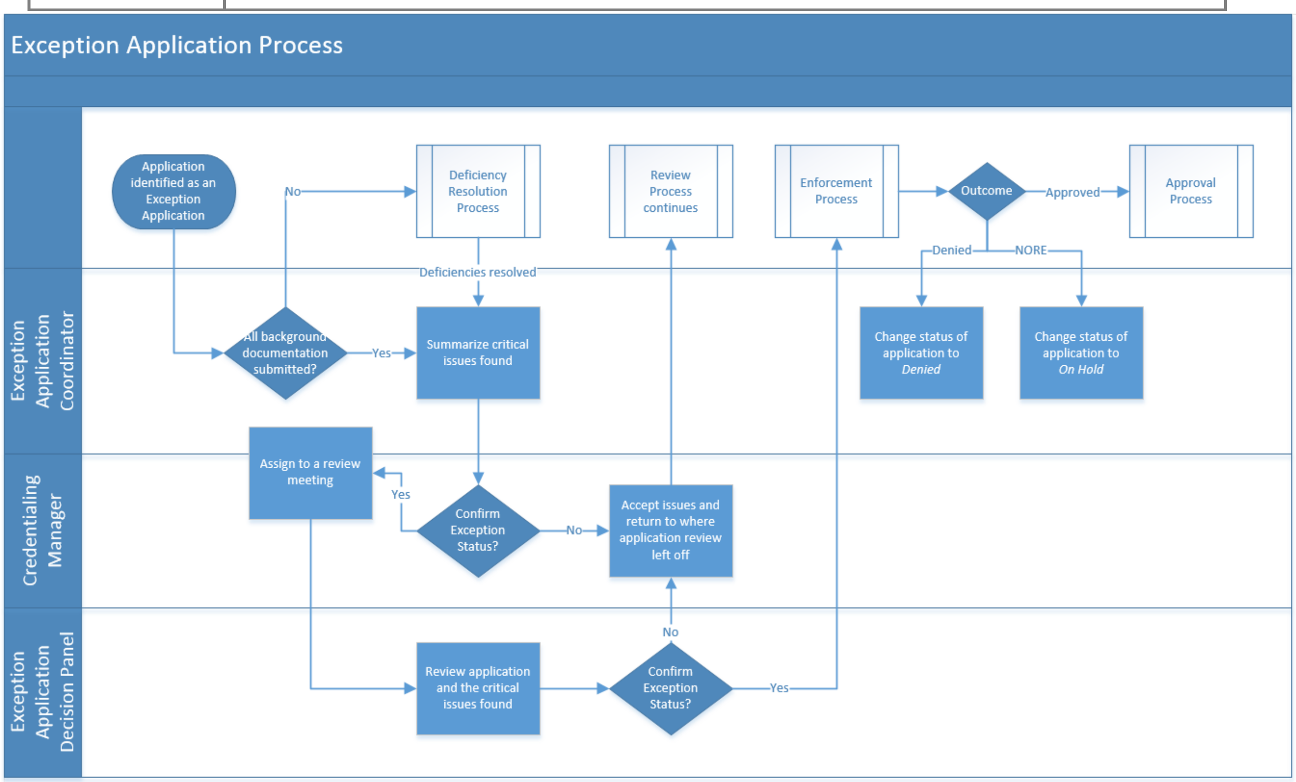
6.1.6 Exception Applications

6.1.6.1 Exception Application Processes

6.1.6.1.1 Process: Exception Application Process

Purpose	To review an Exception Application and decide if it will be approved or denied.
Owner	
Inputs	• Application and applicant information. • List of critical issues found.
Outputs	Outputs of the Enforcement Process including the final decision: • Deny • Approve • Approve with conditions • Place on hold (due to NORE)

Notes	The *Exception Application Decision Panel* is a team that decides if an Exception Application should proceed to the Enforcement Process or if the issues found can be accepted. This panel goes by different names in different program areas. Please note, once the decision is confirmed that the application is indeed an Exception Application, the bulk of the process is encapsulated in the Enforcement process. For example, the following activity is included in the Enforcement Process: • Assigning a Staff Attorney and a representative of the Disciplinary Authority. • Adding the application case to the appropriate Disciplinary Authority meeting. • Decision to accept, accept with limitations, deny or require an examination of the applicant. • Preparing and serving the Notice of Decision. • Applicant requesting a hearing. • The Adjudicative Process (if a hearing was requested). • Preparing and serving the Final Order Notice of Decision.



6.1.6.2 Exception Application Use Cases

6.1.6.2.1 Use Case: Decide if an application is an Exception Application

Purpose	To view application with critical issues to decide if it should be escalated to Exception Application
Description	• Shows list of applications with critical issues identified. • Decide route to take for application - choices are Exception Application or Deficient Application. • If Deficient Application, issues identified as critical are downgraded to deficiencies and the application now appears on the list of Deficient Applications. • Otherwise the application is flagged as an Exception Application.
User Roles	Credentialing Supervisor, Credentialing Manager

6.1.6.2.2 Use Case: View Exception Applications

Purpose	To see and access applications that have been flagged as Exception Applications
Description	
User Roles	Background Check, Exception Application Reviewer

6.1.6.2.3 Use Case: Assign Exception Application to Panel Reviewer

Purpose	To assign an Exception Application for panel review before panel decision.

Description	• Before the panel meets to decide, a member of the panel must review the application/case:
	    ○ For board/commission professions, the reviewer must be a member of the board/commission.
	    ○ For secretary professions, the entire Case Management team must have a chance to review the Exception Application before the meeting.

User Roles	Exception Application Coordinator

6.1.6.2.4 Use Case: View Exception Application

Purpose	For the Exception Application Reviewers to study the application/applicant/background information before making a decision.
Description	View the summary of the background check findings, the application, and the applicant's information. Please note, the decision is made in a meeting after discussing the exception case.
User Roles	Exception Application Reviewer

6.1.6.2.5 Use Case: Schedule Exception Application Review

Purpose	To assign the Exception Application to a scheduled panel meeting

Description	• Shows scheduled meetings and their agenda. • Select a meeting to add the application decision to the agenda.
User Roles	Exception Application Coordinator

6.1.6.2.6 Use Case: Accept or Defer to Enforcement

Purpose	To accept the issues found or defer them to enforcement.
Description	After the Exception Application Decision Panel makes the decision, the Exception Application coordinator records that decision by selecting one of the following: • **Accept**, system removes the exception status on the application and allows the application to proceed to the Approval process. • **Defer to Enforcement**, system creates an enforcement case and queues it for Investigation. Please note, this is considered an authorization for investigation so Compliant Intake and Case Assessment are not needed. While in some cases an investigation is not needed, sometimes there is a need to check further into the allegations or charges to make sure the Disciplinary Authority has a complete picture of the applicant's background before making the final decision on their application. See the Enforcement Process for more information.
User Roles	Exception Application Coordinator

6.1.6.2.7 Use Case: Update with Outcome of Enforcement Process

Purpose	To update the application with the outcome of the enforcement process.

Description	• After the enforcement process is complete, the system returns the result/outcome to the credentialing unit. This is after the hearing, if the applicant requested one, or after the time period for a response to the NOD has passed. Here are the possible outcomes of the enforcement process and how the status of the application is updated.
	    o **Denied** - application status is set to *Denied*.
	    o **Notice of Required Examination** - application is placed *On Hold* for the required time period.
	    o **Approval Authorized** - application proceeds to the approval process.

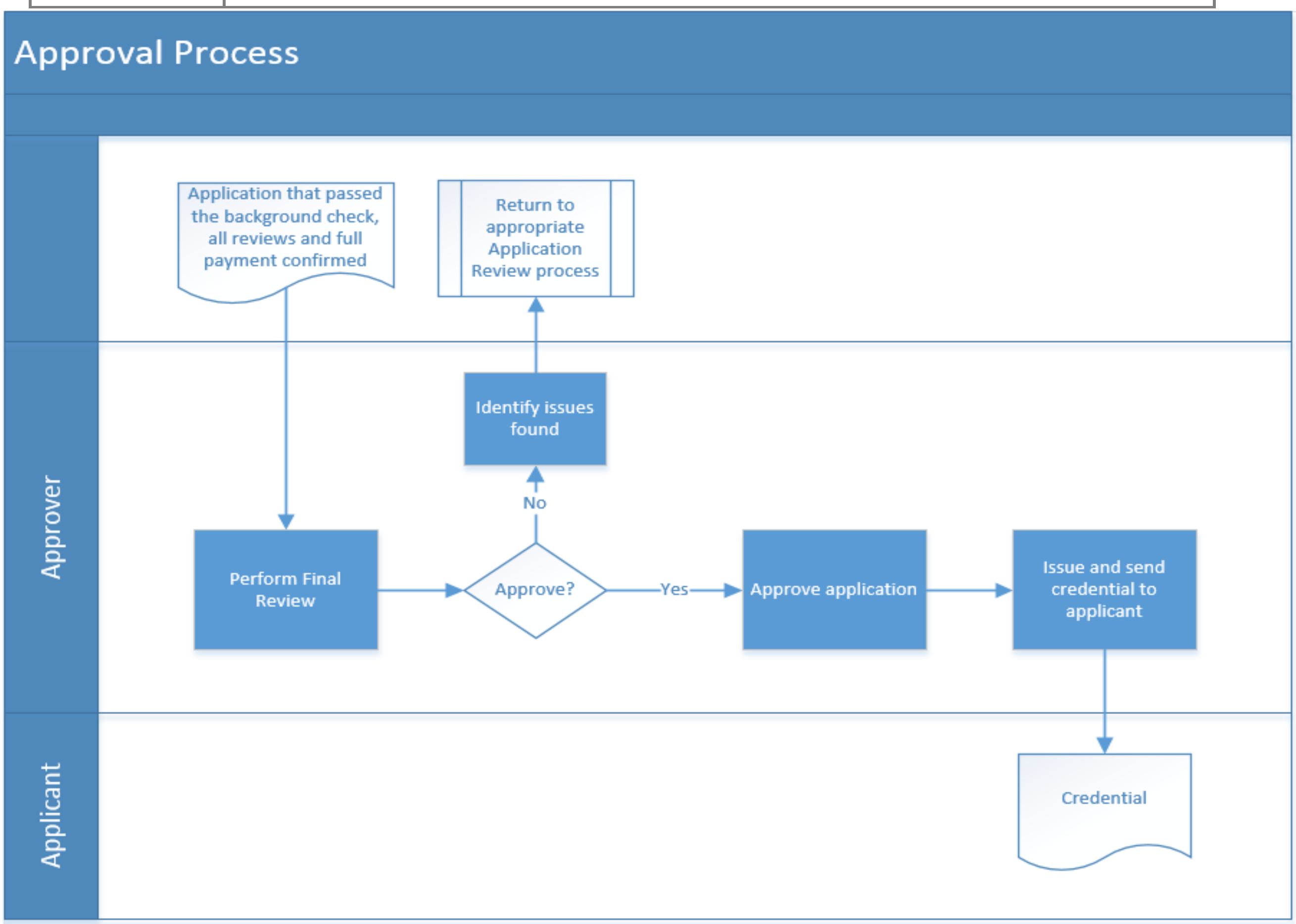
User Roles	Credentialing Supervisor, Exception Application Coordinator

6.1.7 Application Approval

6.1.7.1 Application Approval Processes

6.1.7.1.1 Process: Approval Process

Purpose	To do a final check of the application and if no issues found, approve the application and issue the credential.
Owner	
Inputs	• Application • Confirmation of Full Payment • Completion of required reviews and background check with no unresolved issues
Outputs	• Approved Application • Issued Credential • Approval Notice and packet sent to Applicant
Notes	



6.1.7.2 Application Approval Use Cases

6.1.7.2.1 Use Case: View Applications Pending Approval

Purpose	

Description	
User Roles	Application Approver

6.1.7.2.2 Use Case: Approve Application

Purpose	Once all reviews and checks are complete and passed, the Approver may Approve the application.

Description	• Approver reviews all aspects of the application and previous reviews.
	• If they find an issue, they send it back to the review that should have caught it.
	• If they find no unresolved issues, they Approve the application.
	    o System changes the status of the Application to *Approved*.
	    o System issues the credential and queues it for printing (Print Credential use case).

User Roles	Application Approver

6.1.7.2.3 Use Case: Print Credential

Purpose	To print and mail the credential to the credential holder.
Description	• System uses the (configurable) template to print each credential on the designated printer. Each Credential Type has its own template. • System logs every time a credential is printed (recording the date, time and user). • The credential is then mailed to the credential holder.
User Roles	Credential Printing

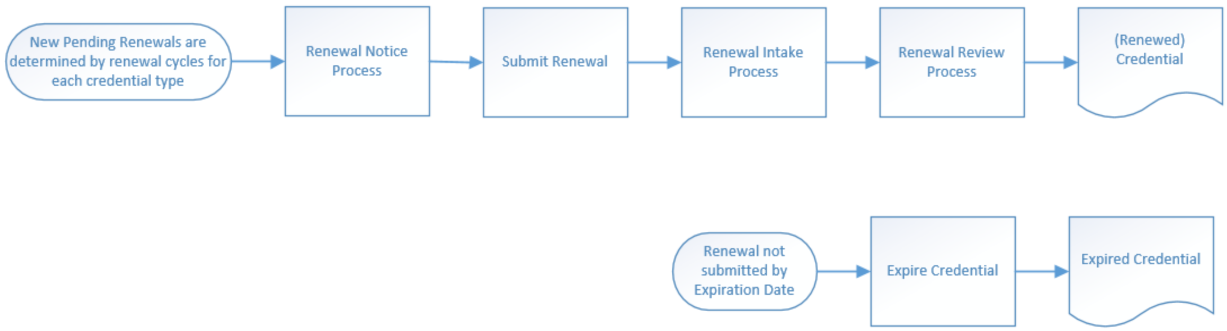
6.2 Renewals

6.2.1 Renewal Processes

6.2.1.1 Process: Renewal Process

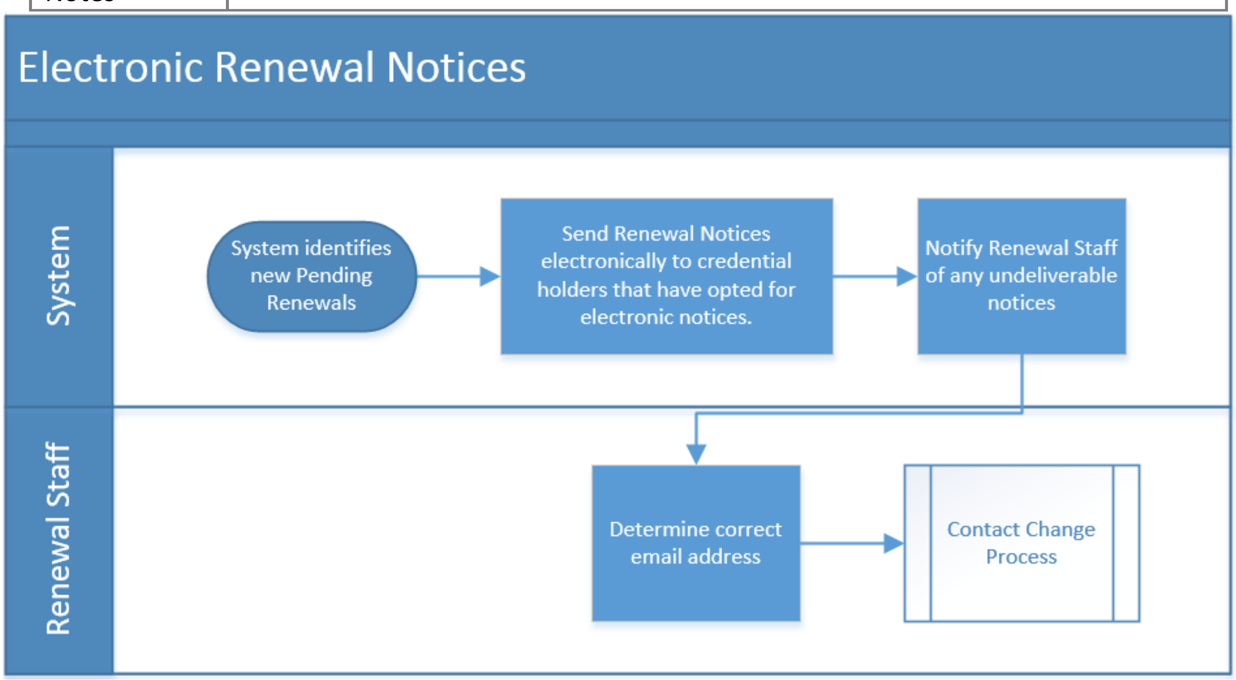
Purpose	To facilitate and ensure proper and timely renewal of credentials by credential holders.
Owner	
Inputs	• List of credential holders that need to be notified of their pending renewal. • Documents required for the renewal, if any, and payment from Credential Holder (or their delegate).

Outputs	• Renewal Notice sent to the Credential Holder at the beginning of the *Renewal Period*. See business rule. • Renewed Credential. ○ Or if not renewed on time, Expired Credential.
Notes	



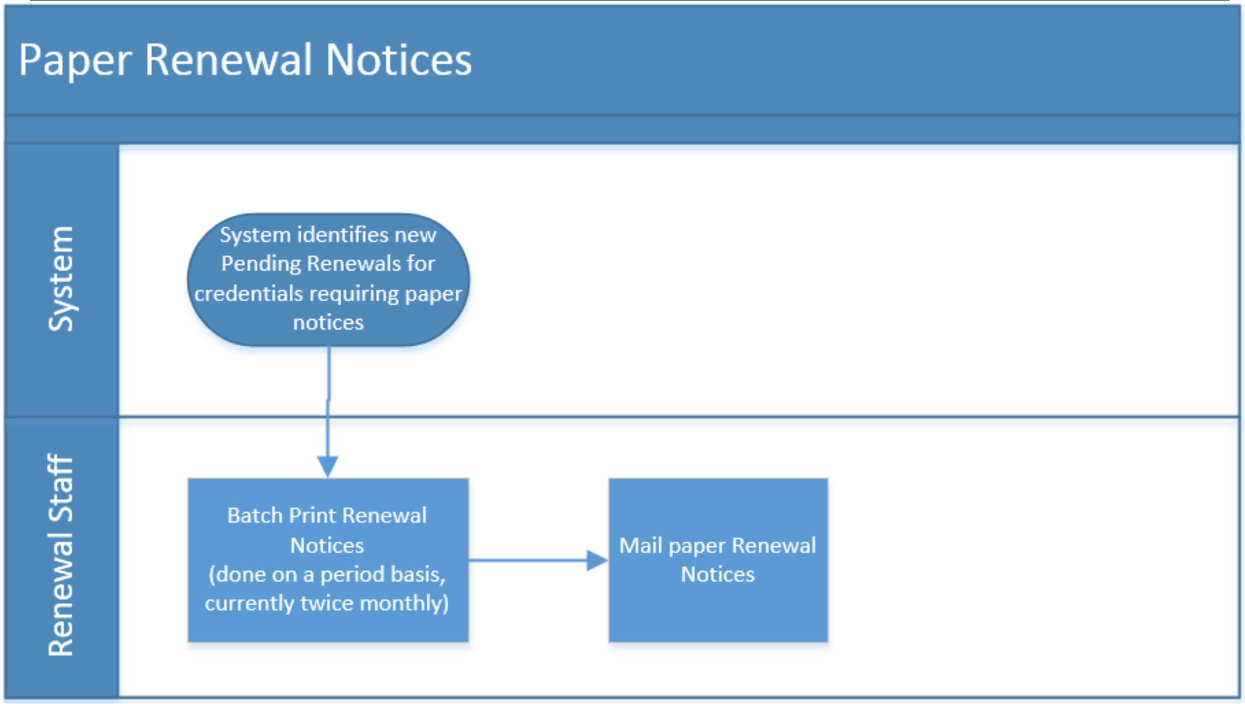
6.2.1.2 Process: Electronic Renewal Notice Process

Purpose	To notify credential holders of their pending renewal.
Owner	
Inputs	• List of credentials entering their Renewal Period that can receive electronic notices.
Outputs	• Renewal Notices sent to credential holders.
Notes	



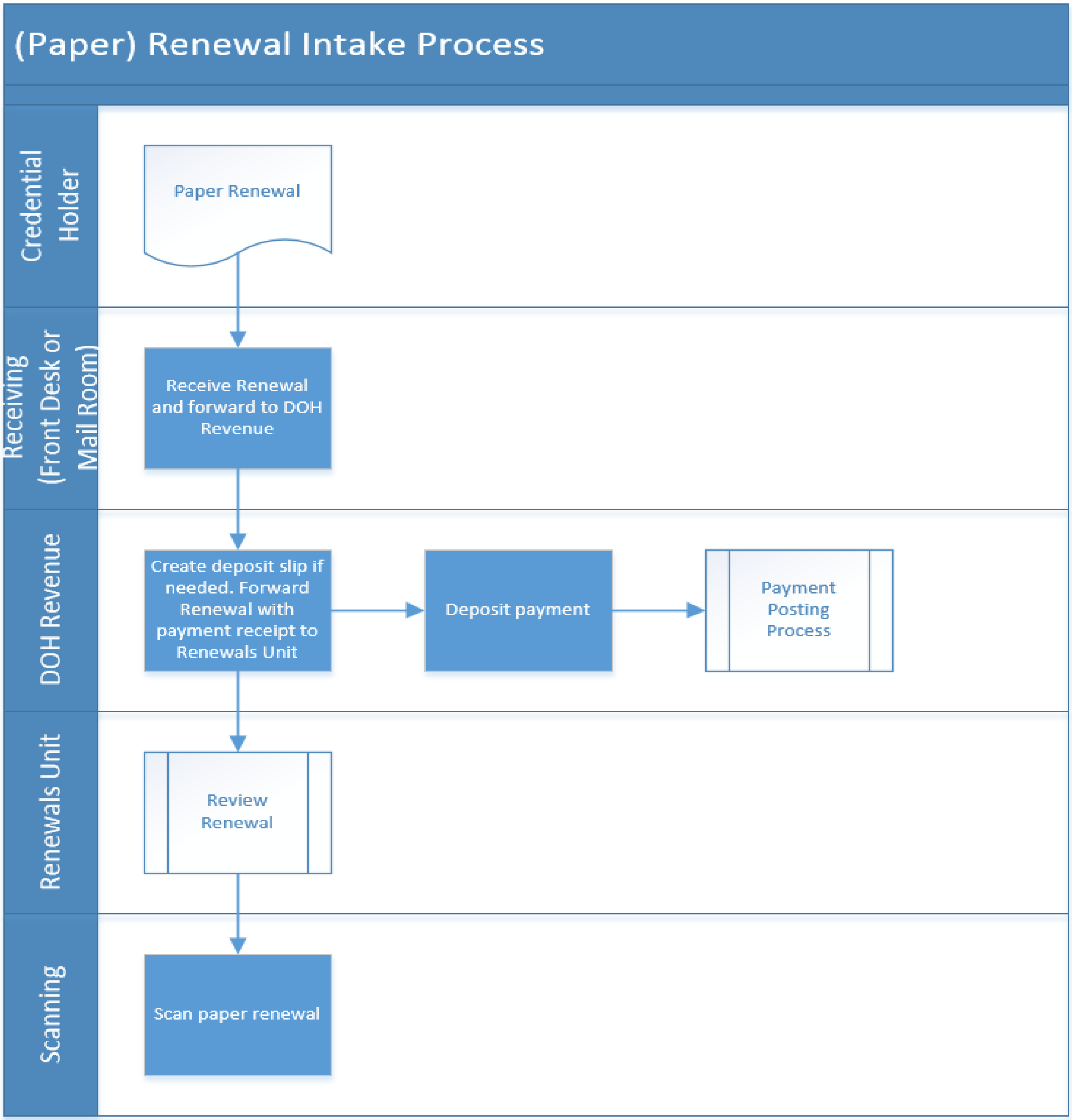
6.2.1.3 Process: Paper Renewal Notice Process

Purpose	To notify credential holders of their pending renewal.
Owner	
Inputs	• List of credentials entering their Renewal Period requiring paper renewal notices.
Outputs	• Renewal Notices sent to credential holders.
Notes	



6.2.1.4 Process: Paper Renewal Intake Process

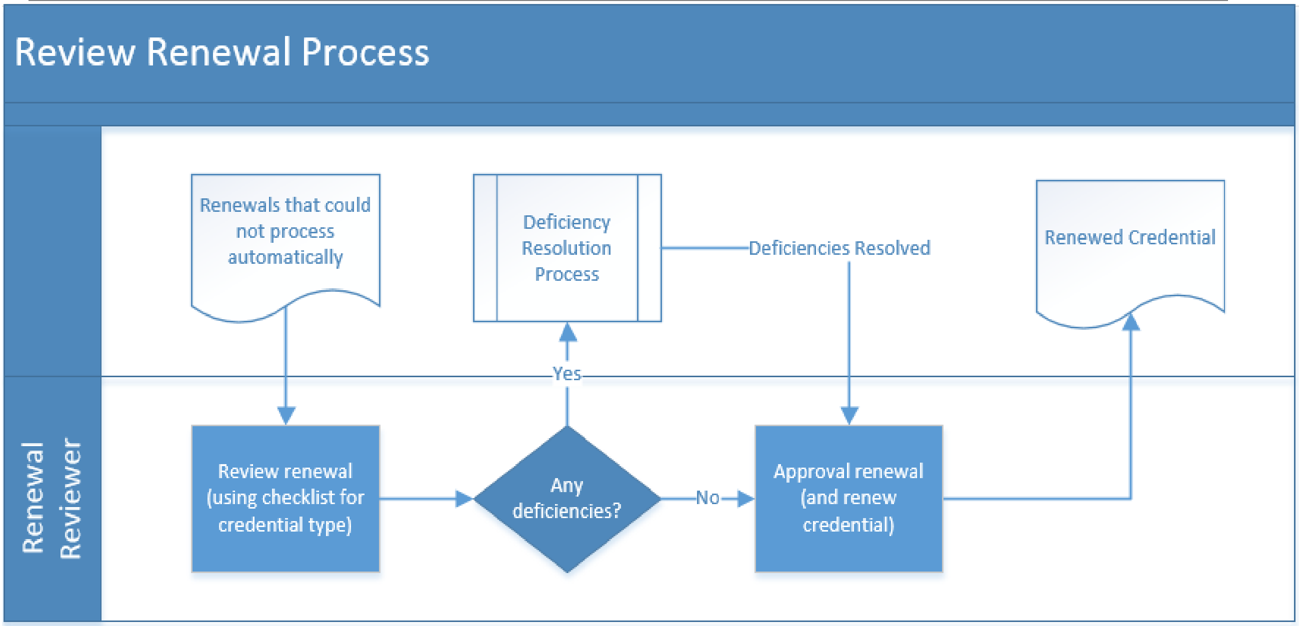
Purpose	To receive paper renewals by mail or front desk.
Owner	
Inputs	• Paper renewals (and payment) received by mail or front desk
Outputs	• Renewals ready for review
Notes	



6.2.1.5 Process: Renewal Review Process

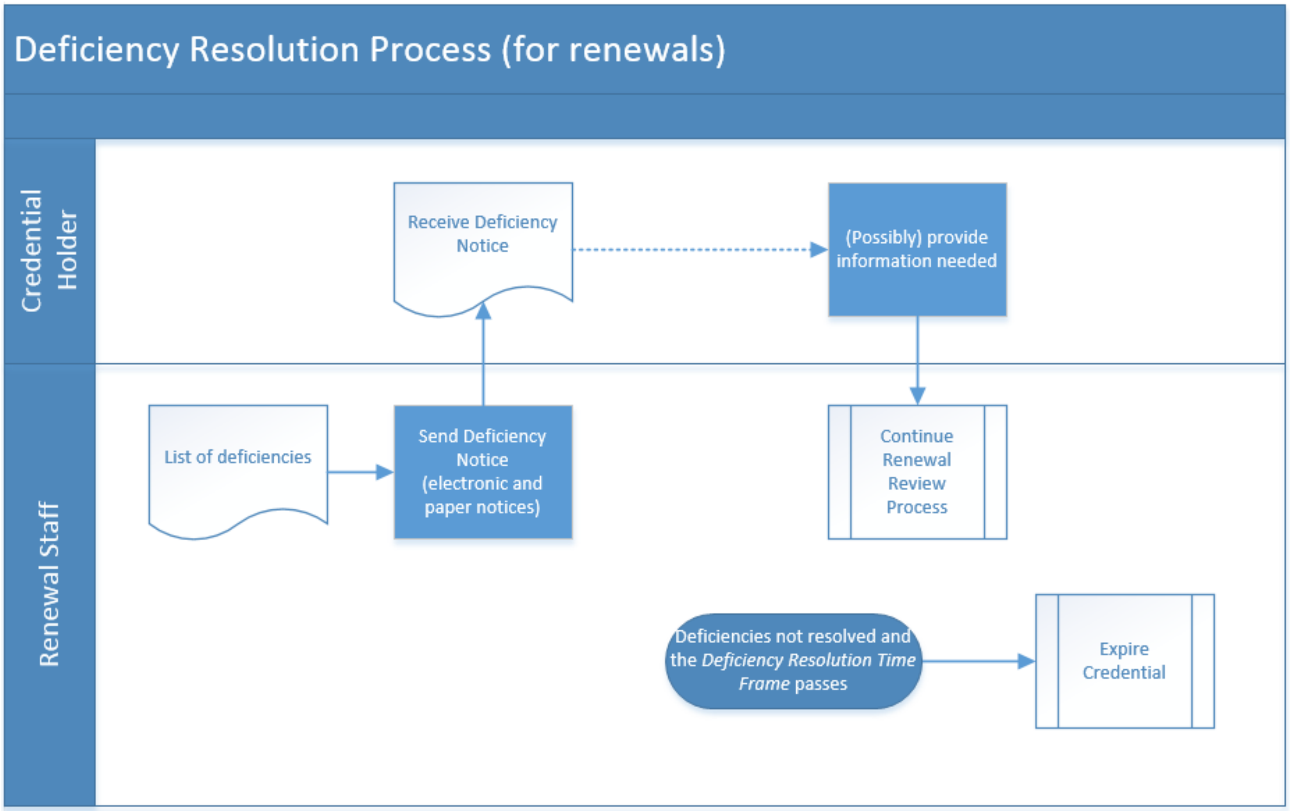
Purpose	To review renewals, resolve deficiencies if any, and complete the renewal.
Owner	
Inputs	• Renewals that cannot be processed automatically. Details TBD.
Outputs	• Renewed credential • Or if deficiencies found, Deficiency Notice

Notes	



6.2.1.6 Process: Deficiency Resolution Process (for renewals)

Purpose	To resolve deficiencies with a renewal.
Owner	
Inputs	
Outputs	
Notes	



6.2.2 Renewal Use Cases

6.2.2.1 Use Case: Identify New Pending Renewals

Purpose	Identify new Pending Renewals
Description	• The system creates new *Pending Renewal* records for each credential entering its *Renewal Period*. See business rule.
User Roles	System

6.2.2.2 Use Case: View Pending Renewals

Purpose	To view credentials that are Pending Renewal.

Description	• Shows and provides access to all pending renewals.
	• Separate lists for:
	  ○ Needing Renewal Notice.
	  ○ Waiting response from Credential Holder.
	  ○ In review.
	  ○ Past due.

User Roles	Renewal Staff

6.2.2.3 Use Case: Send Renewal Notice Electronically

Purpose	To send Renewal Notice electronically to credential holders.
Description	• System sends the renewal notice electronically to credential holders that can receive them. • Renewal Staff are notified of any issues in the process. Generally, only if an email address is incorrect. The Renewal Staff would contact the Credential Holder and get a correct email address and make the change to the Contact record.
User Roles	System

6.2.2.4 Use Case: View Status of Electronic Notices Sent

Purpose	To monitor electronic notices sent to credential holders and be able to address issues.
Description	• Shows list of renewal notices sent electronically and their status. Option to update email address, if undeliverable (this initiates the Contact Change Request process).
User Roles	Renewal Staff

6.2.2.5 Use Case: Print and Mail Renewal Notices

Purpose	Print Renewal Notices for credential holders that must receive paper notices.
Description	• Renewal Staff batch print and mail Renewal Notices twice monthly. • Paper Renewal Notices are sent by mail, only for credential holders that have not opted out of paper notices. • The mailing is contracted out. • Option to print an individual notice. Also option to reprint upon request. Prints locally.
User Roles	Renewal Staff

6.2.2.6 Use Case: Submit Renewal Online

Purpose	For credential holders to renew their credential(s) online.

Description	• For a Credential Holder to be able to renew online, they must be registered for DOH online customer services (see section Online Customer Services).
	• From their online account, the Credential Holder sees their credential(s) pending renewal and can open the corresponding Renewal Notice. They can also see credentials that have expired and are eligible for late renewal. For each credential eligible for renewal, they have the option to *Renew Credential.*
	• If they do not have an SSN number on file, the system requests an SSN. If they say they still do not have an SSN, the system requires an SSN Waiver Request.
	• They provide attestations if required, attach documents if required, and make payment. The fee depends on the credential type and status. Inactive credentials have a lower renewal fee. Military status renewals have no fee. All these cases will need to be handled.
	• When they submit, the system checks and validates (per configurable list of checks for each credential type).
	    o If there are issues, of course the system provides a list of issues and requires the credential holder to fix them.
	    o If there are no issues, the renewal is processed by the system.
	• If review is required, for example if a certificate of completion related to a continuing education requirement needs to be reviewed, then the renewal is queued up for the Renewal Review process. Otherwise the renewal is processed automatically.
	• For other credential related requests, see "Other Requests".

User Roles	Credential Holder

6.2.2.7 Use Case: Review Renewal

Purpose	To review a renewal and make sure all requirements have been met before renewing the credential.

Description	• User reviews the received renewal, the system facilitates the review with a checklist.
	  ○ The checklist must be configurable for certain credential types so that special renewal requirements for a credential type are included in the checklist.
	  ○ Special renewal requirements are placed on certain credential holders because of prior disciplinary or other action.
	  ○ If the Credential Holder still has not provided an SSN, they must include the SSN Waiver request with the renewal. See the SSN Waiver Review process for more info.
	• The system will have checked the payment and ensured it was for the right amount. It will log a deficiency if under paid. See the Payment process for more information.
	• The reviewer checks to make sure each requirement has been met and logs a deficiency when not met.
	• If no deficiencies found, the reviewer may approve the renewal (see next use case).
	• If deficiencies found, the system kicks off the Deficiency Resolution process.

User Roles	Renewal Staff

6.2.2.8 Use Case: View Renewals with Deficiencies

Purpose	To see the renewals with deficiencies and their deficiency resolution status.
Description	
User Roles	Renewal Staff

6.2.2.9 Use Case: Send Deficiency Notices

Purpose	Send Deficiency Notices electronically.
Description	• System uses the *Renewal Deficiency Notice* template for the credential type. • System sends Deficiency Notices electronically to credential holders that have opted to received electronic notices.
User Roles	Renewal Staff

6.2.2.10 Use Case: Print Deficiency Notice

Purpose	Print Deficiency Notices for credential holders that must receive them on paper.
Description	• System uses the *Renewal Deficiency Notice* template for the credential type. • System prints the notice unless the credential holder has opted out of paper notices.
User Roles	Renewal Staff

6.2.2.11 Use Case: Scan Paper Renewal

Purpose	To scan paper renewal along with any documents attached and save them to the Renewal record in the system.
Description	• Scan renewal paperwork and index/associate to the renewal record.
User Roles	Scanning

6.2.2.12 Use Case: Approve Renewal

Purpose	To approve the renewal and update the status of the credential accordingly.
Description	• When the review is done, if no deficiencies found, the reviewer approves the renewal. • System approves the renewal and updates the Effective Date, Expiration Date, CE Due Date and status of the credential. • If the credential is required (configured) to print at renewal, the system queues it for printing. See the Print Credential use case.
User Roles	Renewal Staff

6.2.2.13 Use Case: Print Credential

Purpose	To print the credential.
Description	• System uses the (configurable) template to print each credential on the designated printer. Each Credential Type has its own template. • System logs every time a credential is printed (recording the date, time and user). • The credential is then mailed to the credential holder.
User Roles	Credential Printing

6.2.2.14 Use Case: Edit Renewal Dates

Purpose	Edit renewal dates.
Description	• Manually update the renewal effective date, expiration date and CE due date.
User Roles	Renewal Staff

6.2.2.15 Use Case: Expire Credentials

Purpose	To expire credentials that were not renewed by their deadline.

<table>
<tr><td>Description</td><td>This is a system process that runs each day. It identifies Pending Renewals that were not renewed by their Expiration Date plus 7 calendar days. This is to ensure that any paper renewals that were postmarked in time are processed before they are expired. This period should be configurable.
For the first renewal cycle that a credential is in Expired Status, the credential can be renewed with a late fee. After the credential is in Expired status for a full renewal cycle, it can no longer be renewed. The credential holder must reapply for the credential.</td></tr>
<tr><td>User Roles</td><td>System</td></tr>
</table>

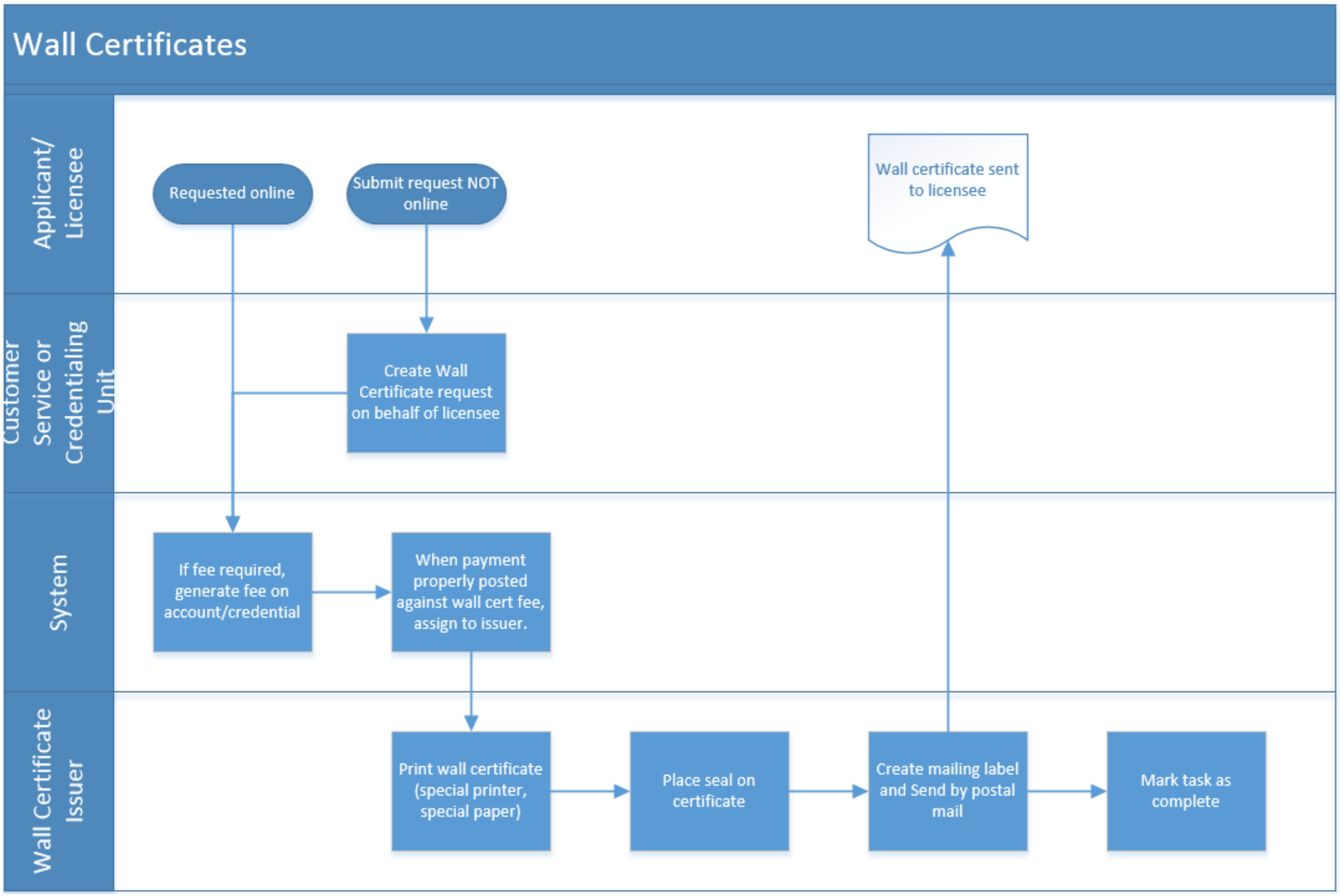
6.3 Other Requests

6.3.1 Wall Certificate Process

6.3.1.1 Process: Wall Certificate Request process

<table>
<tr><td>Purpose</td><td>Print and mail a wall certificate to a credential holder.</td></tr>
<tr><td>Owner</td><td></td></tr>
<tr><td>Inputs</td><td>Wall Certificate Request</td></tr>
<tr><td>Outputs</td><td>Wall Certificate (paper certificate for displaying on wall).</td></tr>
<tr><td>Notes</td><td>Each credential type can be configured for wall certificates in one of three ways:
<table>
<tr><th>Configuration</th><th>Description</th></tr>
<tr><td>Provide on request only</td><td>The credential holder or applicant must request a wall certificate.</td></tr>
<tr><td>Provide with credential when issued and upon request</td><td>A wall certificate is provided with the credential when it is issued (after the application is approved), and upon request.

Please note, this process is not shown here but it is made up of the same tasks except within the context of the application process.</td></tr>
<tr><td>Never provide</td><td>A wall certificate is not an option for the credential type.</td></tr>
</table></td></tr>
</table>



6.3.2 Wall Certificates Requests

6.3.2.1 Use Case: Request Wall Certificate (credential holder)

Purpose	For a credential holder to request a wall certificate.
Description	• Credential holder (or their delegate) logs in to their DOH account and selects the credential. • If wall certificates were supported for the credential type, they would then have the option of requesting one. • Make payment. • Submit request. • System processes payment, generates request and places it in queue for printing and mailing.
User Roles	Credential Holder

6.3.2.2 Use Case: Request Wall Certificate (customer service)

Purpose	To enter a Wall Certificate Request received by email, at the front desk, or some means other than online.

Description	• Search, find and select the credential. • Create request. • Receive payment. Details depend on payment method. • System generates fee record which is later matched to the payment record in Payment Posting process. • System generates the request and places it in queue for printing and mailing.
User Roles	Customer Service, Credentialing

6.3.2.3 Use Case: View Wall Certificate Requests

Purpose	To view (and then work on) Wall Certificate Requests.
Description	• Shows list of requests in order received. • Shows credential type, licensee, and status of payment of the wall certificate fee. • Once the payment record posts to the fee record, the Wall Certificate can be printed.
User Roles	Wall Certificate Printer

6.3.2.4 Use Case: Print Wall Certificate

Purpose	To print wall certificate.
Description	• Only requests that have been fully paid may be printed. • System uses the appropriate template and signatures for the credential and sends to designated printer (and paper). Different signatures for board/commission credentials. • System also prints mailing label on the mailing label printer. • If printing is completed successfully, system flags request as complete. Wall Cert Printer should have the option of manually finding a request or license and Print Wall Certificate. This is in case, the printing or mailing failed.
User Roles	Wall Certificate Printer

6.3.3 Credential Copy Requests

Request for a copy of a credential.

6.3.3.1 Use Case: Request Copy (Credential Holder)

Purpose	For the Credential Holder to request a copy of a credential.

Description	• For Credential Holders using their online account, if their credential allows for copy requests. If so, they Request Copy. • If there is a fee, they make payment. • Submit request. • System processes payment, generates a Credential Print Request and places it in queue for printing and mailing.
User Roles	Credential Holder

6.3.3.2 Use Case: Request Copy (Customer Service)

Purpose	For customer service to request a copy of a credential printed and mailed to credential holder.
Description	• Search, find and select the credential. • Create Copy Request. • If there is a fee, receive payment. Details depend on payment method. • System generates fee record which is later matched to the payment record in when payment is posted. • System generates a Credential Print Request and places it in queue for printing and mailing.
User Roles	Customer Service, Credentialing Staff, Renewals Staff

6.3.4 Status Change Request Use Cases

6.3.4.1 Use Case: Request Status Change

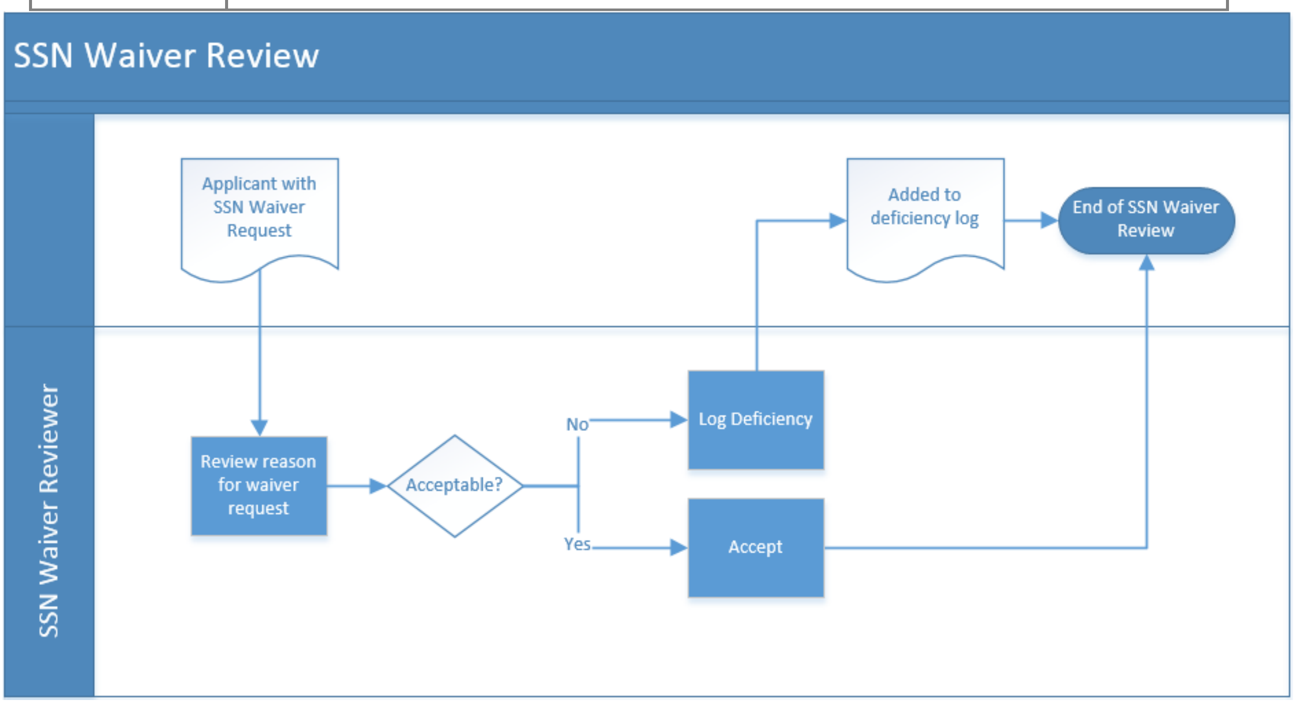
Purpose	For Credential Holders to request a status change.
Description	The following status changes can be requested at any time: • **Military status**. When a credential holder is deployed for military service, they can request this status so they do not have to worry about maintaining their credential while they are on active duty. They must attach a scan of their deployment notice. • **Retired status.** More info needed on this status??? • **Inactive status.** If a credential holder plans to move to another state, they may request Inactive status so they can maintain their credential and pay a lower renewal fee. Which status changes need to be reviewed and approved?
User Roles	Credential Holder

6.4 SSN Waivers

6.4.1 SSN Waiver Process

6.4.1.1 Process: SSN Waiver Review

Purpose	To review a SSN Waiver Request and decide if the applicant's reason for not providing a Social Security Number (SSN) is acceptable or not.
Owner	
Inputs	SSN Waiver Request
Outputs	Approval or Denial of the SSN Waiver Request. If Denied, the deficiency is added to the Deficiency Log.
Notes	Some points of clarification: • By the time an application gets to the application review process or a renewal gets to the renewal review process, it will either have an SSN or the SSN Waiver Request form will be attached and completed. This is achieved online by the system checks and on paper during the intake process. • If an application in review includes an SSN Waiver Request, it is automatically queued for SSN Waiver Review by the system. It is placed in the SSN Waiver Reviewer's assignment queue.



6.4.2 SSN Waiver Review

6.4.2.1 Use Case: View SSN Waiver Requests

Purpose	Shows SSN Waiver Requests to be able to review them.

Description	• Shows list of SSN Waiver Requests that need to be reviewed.
User Roles	SSN Waiver Reviewer

6.4.2.2 Use Case: Review SSN Waiver Request

Purpose	To review and decide on a SSN Waiver Request
Description	• Reviewer looks over the SSN Waiver Request. • Reviewer has option to look at other information on the application or any other records available on the Applicant. • Reviewer decides to accept or not. If not, the issue is logged as a deficiency.
User Roles	SSN Waiver Reviewer

6.5 Continuing Education Audits

6.5.1 User Roles

There are a number of roles involved in the Continuing Education Audit process. These roles are defined here as user roles so that credentialing management can easily assign these roles as they see fit to various credentialing staff. Staff can be assigned to more than one role.

Overview of roles

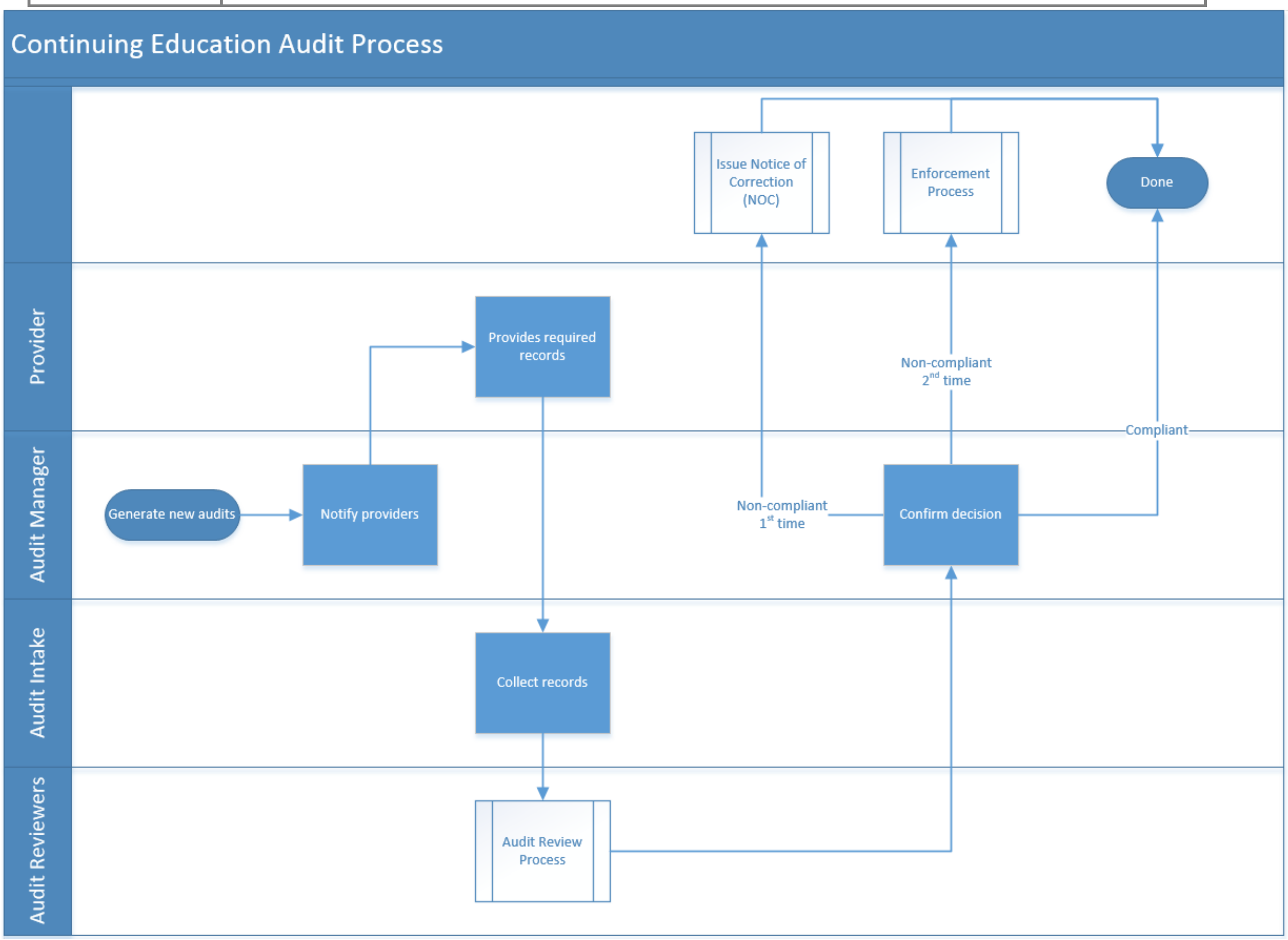
- **Audit Intake** - intake of audit related records received from Credential Holder.
- **Initial Reviewer** - perform initial review of audit records to make sure the Credential Holder has provided all of the records required by the audit. Coordinates with Credential Holder to resolve deficiencies.
- **Program Reviewer** - a program manager that reviews audit records to decide if the Credential Holder is in compliance with continuing education and other credentialing requirements. For board/commission professions this would be a member of the board/commission, for all others it would be a Program Manager in the Office of Health Professions.
- **Audit Manager** - Oversee audit reviews. Send notifications to providers. Confirms audit decision.

6.5.2 Continuing Education Audit Process

6.5.2.1 Process: Continuing Education Audit Process

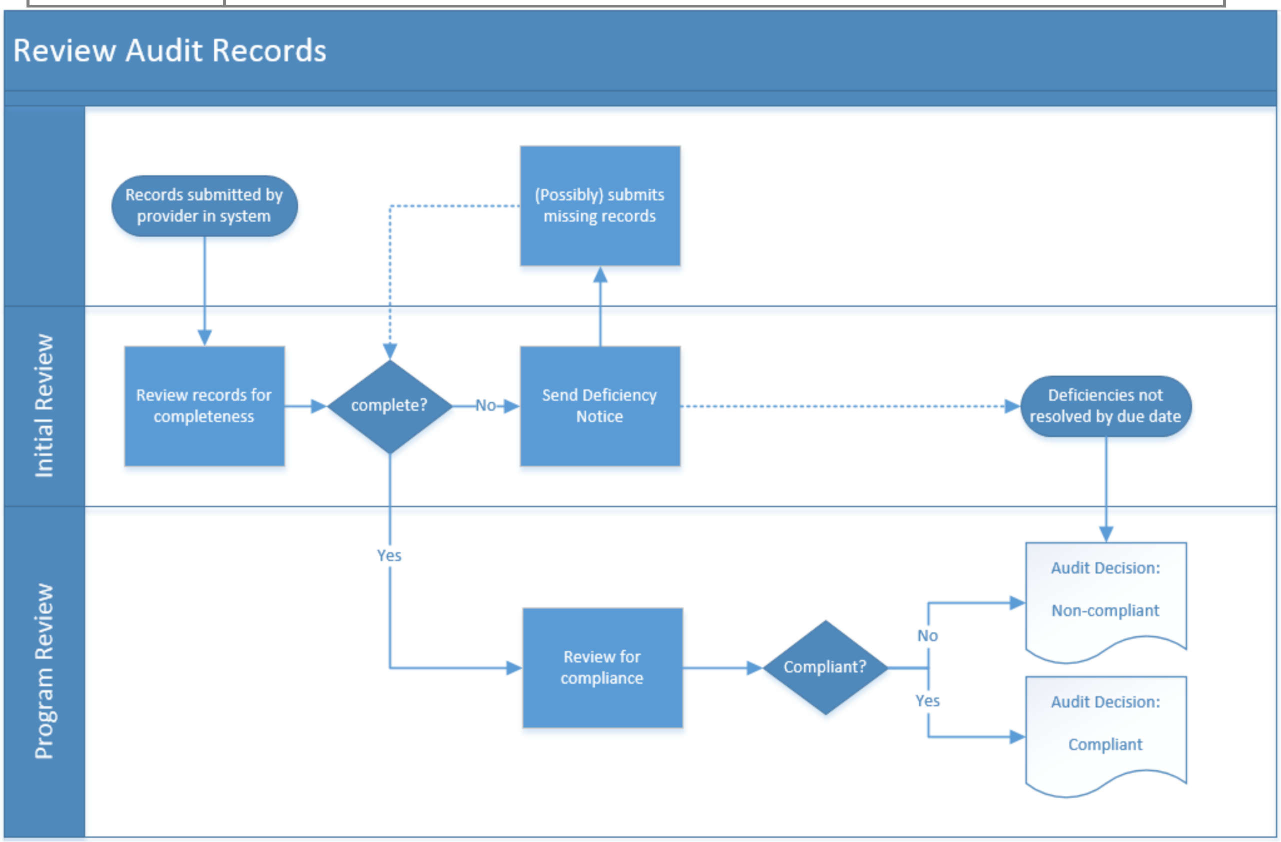
Purpose	To ensure providers are meeting the continuing education requirements.
Owner	
Inputs	• Randomly generated list of providers • Plus providers that failed an audit the last audit cycle

Outputs	Audit result for each provider - one of the following: • Provider is compliant with the Continuing Education requirements of their credential(s). • Provider is non-compliant and it's their first time - Notice of Corrections is sent to the provider. • Provider is non-compliant and it's their second time - Enforcement Process determines if disciplinary action is needed and if so, the resulting sanctions are placed on the provider/their credentials.
Notes	WAC 246-12-190 Auditing for Compliance WAC 246-12-210 Exemptions and Extensions WAC 246-12-280 Acceptable Documentation



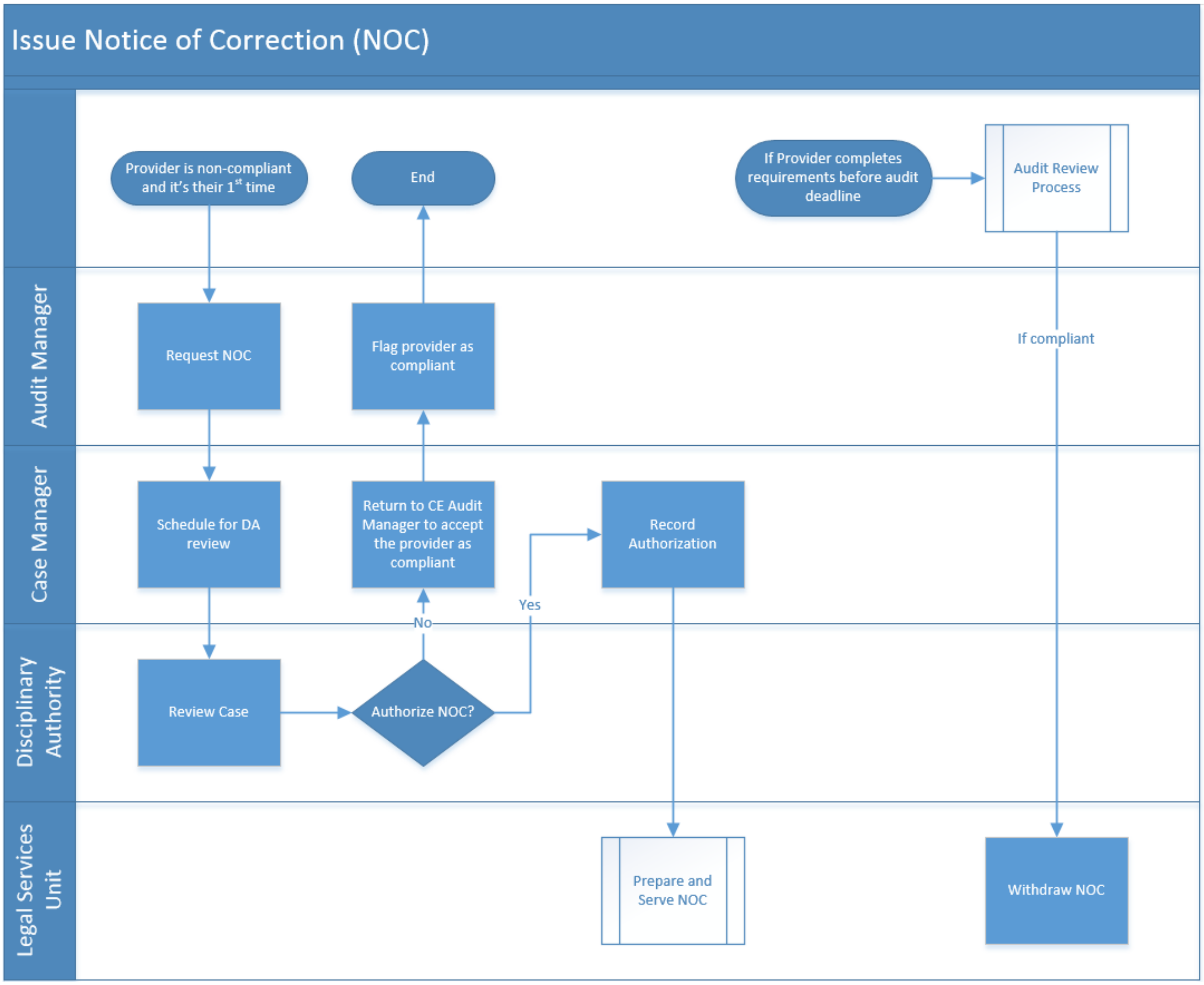
6.5.2.2 Process: Review Audit Records

Purpose	Review audit records to determine if the provider is in compliance with the Continuing Education requirements of their credential(s).
Owner	
Inputs	• Provider and credentialing history • Additional records received from provider related to the audit
Outputs	Audit decision: • Compliant • Non-compliant
Notes	



6.5.2.3 Process: Issue Notice of Correction

Purpose	To issue a Notice of Correction and flag for re-audit after next renewal.
Owner	
Inputs	• Authorization from the Disciplinary Authority (delegates)
Outputs	• Notice of Correction sent to provider. • Provider account flagged for audit after next renewal.
Notes	



6.5.3 Continuing Education Audit Use Cases

6.5.3.1 Use Case: Generate New Audits

Purpose	To randomly select providers for audit.

Description	• Audit Manager selects the percentage of providers to include in the random audit selection - default is 2%. • Only credentials that have continuing education requirements are included in the list. • The system randomly selects a percentage of the providers that fall in the audit cycle based on their profession. • The system automatically includes in the selection (2% or whatever percentage selected by the audit manager) any providers that failed an audit in their previous audit cycle. In other words, all the providers that received a Notice of Correction in the previous profession specific audit cycle. • The Audit Manager can manually add or remove providers if there are issues with how the system is adding providers to the list. Otherwise there should be no need for manager override. • Audits have a default deadline of 60 days. Providers can request extension.
User Roles	Audit Manager

6.5.3.2 Use Case: View Audit List

Purpose	To view and work on audits (new and in progress).

Description	Provides view of audits in each of the following stages:
	• New (pending audit notification)
	• Waiting for records
	• Pending Initial Review (records submitted and in system)
	• Initial Review in progress
	• Pending Program review (records are complete)
	• Program Review in progress
	• Compliance Decision made:
	    o Compliant
	    o Non-compliant
	        ▪ 1st time:
	            ▪ NOC in process
	            ▪ NOC served
	        ▪ 2nd time:
	            ▪ in enforcement process
	            ▪ enforcement process complete

User Roles	Audit Manager, Audit Intake, Initial Reviewer, Program Reviewer.

6.5.3.3 Use Case: Notify Providers

Purpose	To notify providers of the audit and instruct them on what they need to provide.

Description	• System generates the audit notice for the new audits (since the last time the mass notifications were sent). • System automatically sends the notice where possible. This will be the providers that have an email address on file and have opted for electronic notifications. • System queues the rest for batch printing and mailing. Details TBD. • Audit Manager can individually/manually notify, in case there is a failure in the above process.
User Roles	Audit Manager

6.5.3.4 Use Case: Submit Audit Response

Purpose	For the providers to submit the required records via their online account, if they have one.
Description	• For providers that are registered users of the provider portal, after they credentials are linked to their online account. • System shows that they are under audit, their response due date, and instructions on what to provide. • User attaches the records/documents and submits for audit. • User can also request an extension to the due date. • System queues the submitted records for initial review.
User Roles	Provider

6.5.3.5 Use Case: Receive Records

Purpose	To manually input records that are received on paper (via front desk or mail).
Description	• User selects the audit record and enters information from the records received. • Scan and attach image to audit record. • When done, the system queues the records for Initial Review.
User Roles	Audit Intake

6.5.3.6 Use Case: Initial Audit Review

Purpose	To check that the provider has submitted all of the records required for the audit.
Description	• Initial Reviewer checks the records provided and logs any deficiencies.
User Roles	Initial Reviewer

6.5.3.7 Use Case: Generate Deficiency Notice

Purpose	Generates a deficiency notice so the provider can be informed of missing records.

Description	• System generates the notice from Audit Deficiency Notice template.
User Roles	Initial Reviewer

6.5.3.8 Use Case: Send Deficiency Notice

Purpose	To send deficiency notice to provider.
Description	• System sends the notice electronically if the provider has opted to receive electronic notifications. • Option to print and mail. • System sets the status of the audit to *Deficiencies Found - Waiting Records*. When the due date passes, the system updates the audit status to *Non-compliant*.
User Roles	Initial Reviewer

6.5.3.9 Use Case: Program Review

Purpose	To determine if a provider is compliant with the continuing education/competency requirements of their credential(s).

Description	• Reviewer examines the records provided.
	• Identifies issues, if any.
	• Decides if the provider is *compliant* or *non-compliant*.
	• If compliant, the system queues for Notification of Successful Completion of Audit.
	• If non-compliant:
	    ○ If first time, system creates request for Legal Services to *Issue Notice of Correction* (NOC). The system will also automatically include the provider in the audit list after the next time the provider renews???
	    ○ If second time, system creates complaint (enforcement case) with link to audit records.

User Roles	Program Reviewer

6.5.3.10 Use Case: Review Extension Requests

Purpose	To review and grant/deny extension requests.
Description	The program manager for the credential type: • views the list of extension requests, including the reason provided. • decides to grant or deny the request. • Deny requires a reason. Provider is automatically notified if they have opted for electronic notifications. Otherwise the program manager has to use another method. • Grant - system updates the audit deadline (maintaining the original date).

User Roles	Program Manager

6.5.3.11 Use Case: Confirm Audit Decision

Purpose	For the Audit Manager to confirm the audit decision.

Description	• Audit Manager confirms decision made in the review process:
	• If "compliant", the audit is complete and notice is sent to the provider (see Generate Successful Completion Notice).
	• If "non-compliant":
	  ○ 1st Time, the system generates a *Notice of Correction Request* and queues it for Case Management - see the *Issue NOC Process*.
	  ○ 2nd Time, the system generates an enforcement case and queues it for the Complaint Intake unit - this initiates the *Enforcement Process*.
	  ○ If the provider returns to compliance during either the NOC or Enforcement process, the Audit Manager can change the audit decision to "compliant".

User Roles	Audit Manager

6.5.3.12 Use Case: Notify Audit Manager

Purpose	
Description	• If in the enforcement or NOC process the provider returns to compliance and the process is terminated, the system notifies the Audit Manager of the status change. • The Audit Manager can then change the audit decision to "compliant" (see Confirm Audit Decision use case).
User Roles	System

6.5.3.13 Use Case: Generate Successful Completion of Audit Notice

Purpose	To notify the provider of the successful completion of their audit.
Description	• System uses the template to create the notice.
User Roles	Audit Manager

6.5.3.14 Use Case: Send Successful Completion of Audit Notice

Purpose	To notify the provider of the successful completion of their audit.

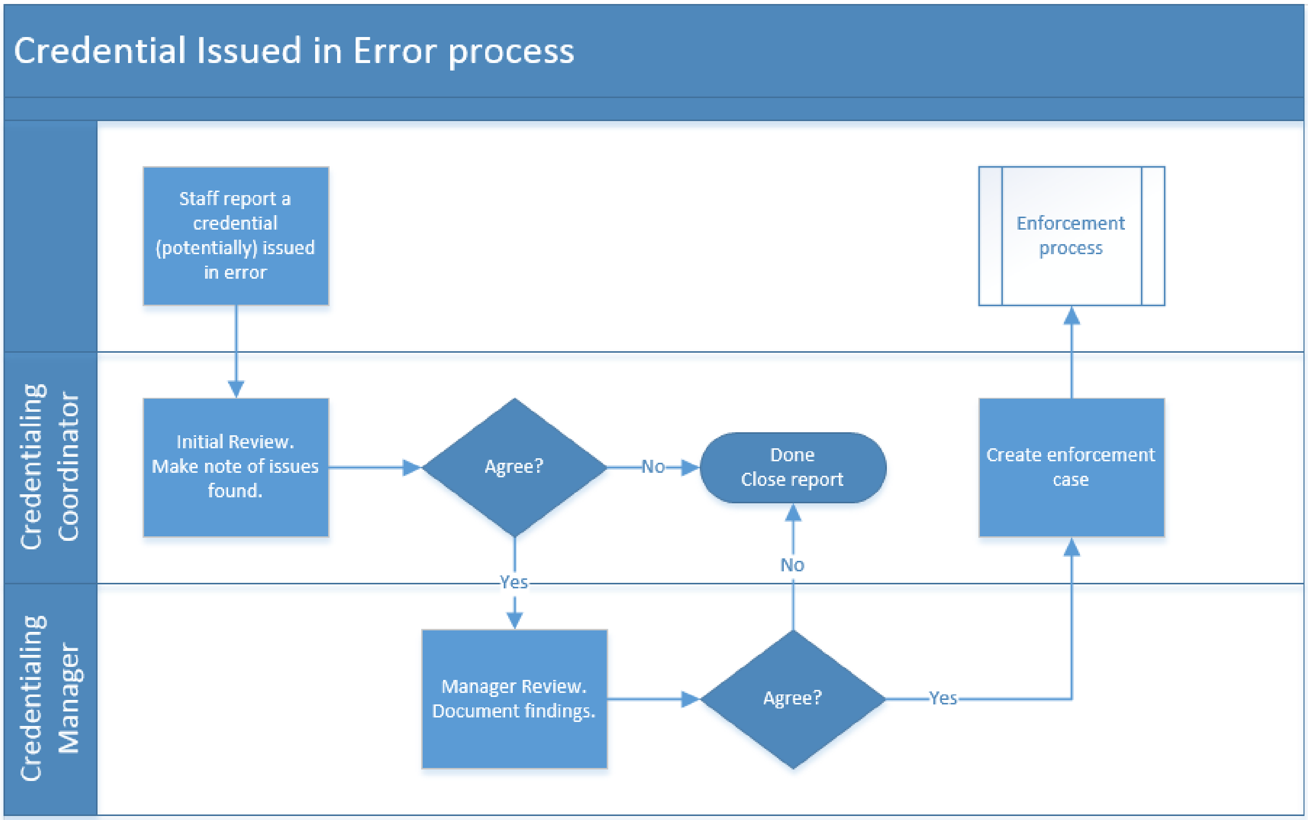
Description	• System sends the notice electronically if the provider has opted to receive electronic notifications. • Option to print and mail. • System sets the status of the audit to *Complete*. The audit no longer appears on the current audit list. It appears in the provider's audit and credentialing history.
User Roles	Audit Manager

6.6 Credential Issued In Error

6.6.1 Credential Issued in Error Process

6.6.1.1 Process: Credential Issued In Error Process

Purpose	Credentialing
Owner	
Inputs	Report of a credential potentially issued in error
Outputs	• **Credential Issued In Error (CIIE) Notice** informs the Credential Holder of the issue. They are now a "Respondent". Then there are two possible outcomes: • Respondent requests a Brief Adjudicative Process (BAP) and provides additional information that proves they qualify for the credential - case is closed without changes. • Respondent does not respond by deadline or Respondent requests a BAP but decision is upheld. **Notice of Decision** is served on the Respondent.
Notes	



The Enforcement Process for Credentials Issued in Error has the following unique features:

- There is no investigation. The findings reported by the Credentialing Manager serve as the findings for the case.
- The *Initiating Document* is a **Credential Issued In Error Notice**.
- Respondent can only request a **Brief Adjudicative Process** (BAP), not a hearing. They provide a statement explaining why they believe they are qualified for the credential and it is reviewed by the BAP officer who makes the decision.
- If the BAP officer agrees that the credential was issued in error, the Staff Attorney prepares a **Notice of Decision** which is then served on the Respondent.

6.6.2 Credential Issued in Error - Use Cases

6.6.2.1 Use Case: Submit an "Issued in Error" Report

Purpose	For staff to report a credential that was potentially issued in error.
Description	• Any credentialing or enforcement staff should be able to easily submit this report. • Staff simply select the credential and select to report that it was issued in error. • A reason is required. • System routes the report to the Credentialing Coordinator.

User Roles	Credentialing and Enforcement staff

6.6.2.2 Use Case: Review Credential

Purpose	To review a credential that was potentially issued in error.

Description	• Reviewer sees the credential application including records received from 3rd parties, background check results and everything the credentialing staff have access to when reviewing an application. This includes the credential holder's credentialing and enforcement history. Additionally, the reviewer will see any previous reviews of the credential to determine if it was issued in error.
	• Review makes notes of "findings" - a list of issues found and reasons why the credential holder is not qualified for the credential they were issued.
	• Reviewer makes the decision:
	    o Yes, the credential was issued in error.
	        ▪ System routes as follows:
	            ▪ If the reviewer was a Credentialing Coordinator, it is routed to the Credentialing Manager for review.
	            ▪ If the reviewer was the Credential Manager, the system creates an Enforcement Case and routes it for Case Assessment.
	    o No, the credential was issued correctly.
	        ▪ System keeps a record of the report and review with the credentialing history.

User Roles	Credentialing Coordinator, Credentialing Manager.

6.6.2.3 Use Case: View Credentials Issued in Error Report

Purpose	For management to track credentialing accuracy, and to investigate and address root causes of errors.

Description	• Run a report on credentials issued in error.
	• For a user defined time frame (and potentially other filters), the report shows:
	    o The list of credentials issued in error.
	    o A count of credentials issued in error by:
	        ▪ Credential Type
	        ▪ Profession
	        ▪ Program Area
	        ▪ Disciplinary Authority
	        ▪ Finding type. Each credential issued in error will have a list of findings - reasons the reviewer believes the credential was issued in error. Is it possible to identify different finding types? If so, this will help management see the types of issues that are resulting in credentials being issued in error.

User Roles	Credentialing Supervisor, Credentialing Manager

6.6.2.4 Use Case: Update Credential Status

Purpose	To update the Credential Status as the case progresses through the enforcement process.

Description	Here is a summary of the enforcement process for Credentials Issued in Error, and the places where the credential status changes:
	
	• Staff Attorney prepares a Credential Issued In Error (CIIE) Notice. This acts as an "Initiating Document".
	• Respondent receives CIIE Notice. They have a choice:
	    o If they do nothing in the time they are given to respond, the credential is placed in ***Pending*** status.
	    o If they request a Brief Adjudicative Process (BAP), they submit a statement along with their request.
	        ▪ If the BAP decision is to confirm that the credential was issued in error, the credential is placed in ***Pending*** status.
	        ▪ If the BAP decision is to agree with the Respondent, the case is closed and the credential remains in the status it was in.
	• With the ***Pending*** status, the provider is given an additional period of time to remedy deficiencies. Currently this time period is 300 days. This period should be configurable. If the deficiencies are not remedied in this time period, the credential changes from ***Pending*** to ***Closed*** status. The credential can no longer be reinstated. The provider must reapply for the credential, if they still want it and believe they qualify.

User Roles	System

7 Credentialing - Home Care Aides

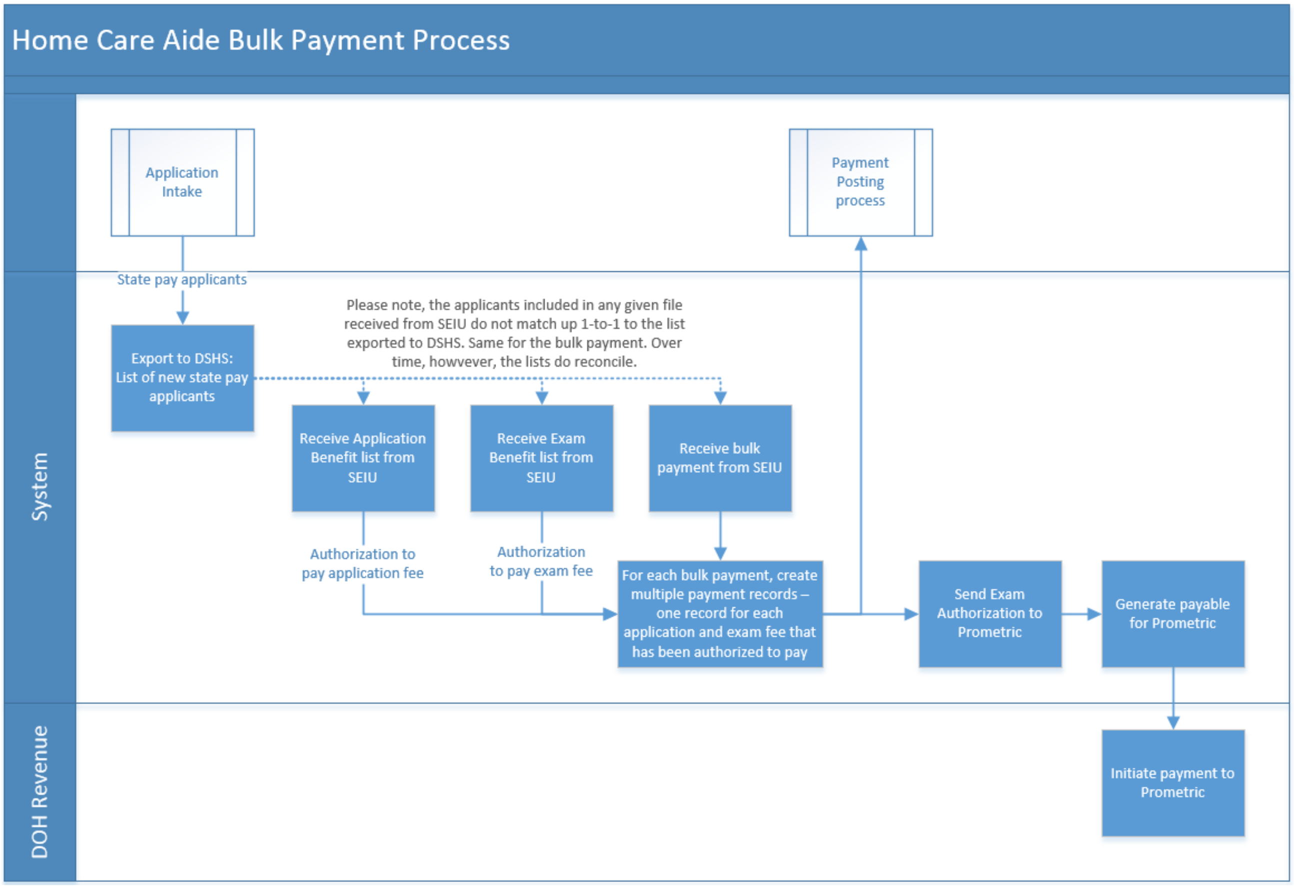
Home Care Aide applications will be submitted, reviewed and approved in a similar manner to other credentials. There are three ways, however, that Home Care Aide credentialing differs from other credential types:

- ***State Pay* applicants**. Some Home Care Aides are hired by the Department of Social and Health Services (DSHS). These types of Home Care Aide applicants are referred to as *State Pay* applicants.
  - They join the Service Employees International Union (SEIU) and the union pays their application and exam fees in bulk payments. Other Home Care Aide applicants must pay their own application and exam fees.
- **Background checks** on employed applicants are performed by DSHS.
- **Provisional certification**. Home Care Aides can apply for a provisional certification which allows them to start working as a Home Care Aides without the Home Care Aide credential. This is designed for foreign workers with limited proficiency in English to start working while they learn English and are able to pass the required examination. The provisional certification is for a 60 day period only.

7.1 Home Care Aide Processes

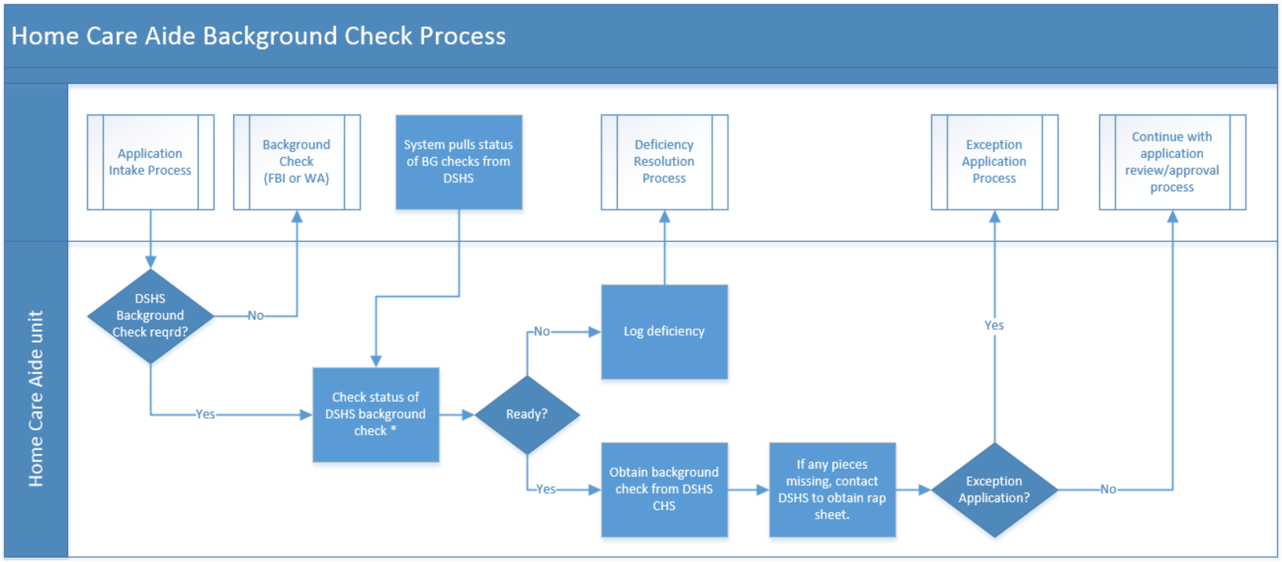
7.1.1 Process: Home Care Aide Bulk Payment Process

Purpose	To receive and process bulk payments for Home Care Aide application and exam fees.
Owner	
Inputs	• List of individuals who are eligible for Home Care Aide state pay provided by SEIU. • Bulk payment from SEIU.
Outputs	• List of Home Care Aide applicants sent to DSHS. • Split payment record posted to exam and applicant fees. • Exam authorization and payment for exam sent to exam administrator (currently Prometric).
Notes	This is for state pay applicants only. Private pay application and exam fees are submitted and processed like any other credential that includes exam authorization.



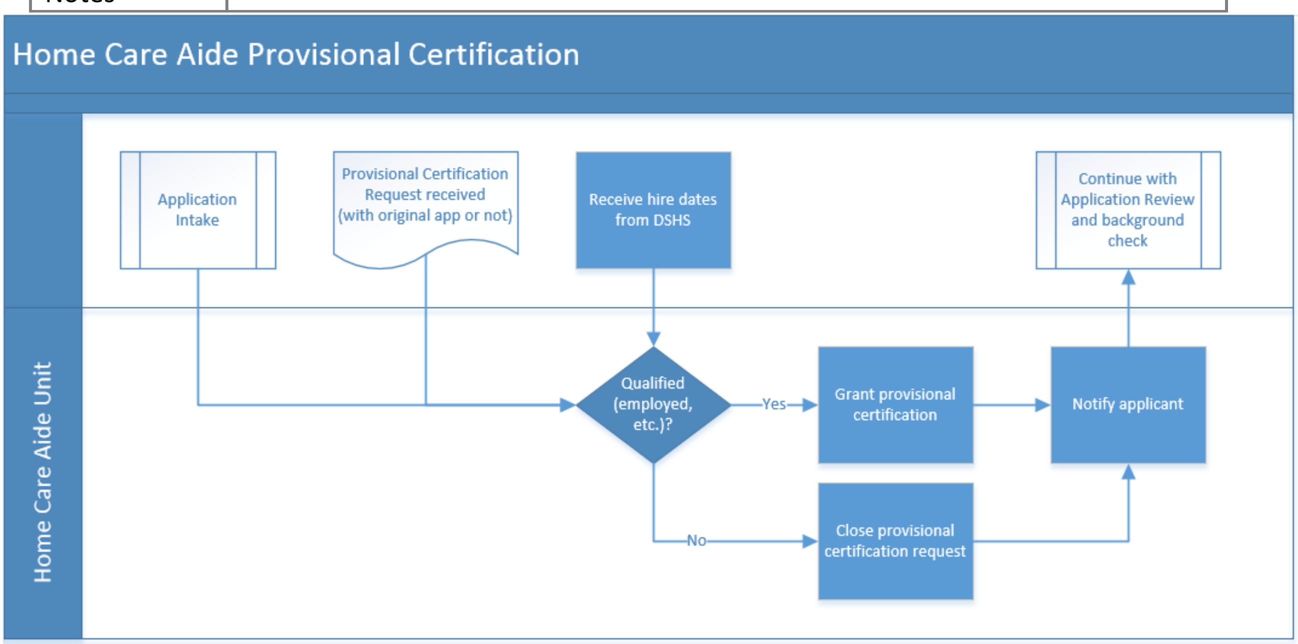
7.1.2 Process: Home Care Aide Background Check

Purpose	To receive background check results from DSHS for state pay Home Care Aide applicants.
Owner	
Inputs	• Home Care Aide application from state pay applicant. • Background check status received from DSHS.
Outputs	• Completed background check information received from DSHS.
Notes	



7.1.3 Process: Home Care Aide Provisional Certification Process

Purpose	To extend the time that a Home Care Aide worker is allowed to work without a credential (60 days) when they have limited English proficiency.
Owner	
Inputs	• Home Care Aide application provided by applicant. • Provisional Certification application created by Application Intake staff. • Hire date provided by DSHS.
Outputs	
Notes	



7.2 Home Care Aide Use Cases

These requirements are in addition to the core credentialing requirements.

7.2.1 Use Case: Exchange data with DSHS, SEIU and Prometric

Purpose	This is a brief explanation of the data that needs to be exchanged with DSHS and SEIU
Description	The following information must be provided (or made available) to DSHS: • **List of Home Care Aide applications received.** The key identifier is the Originating Case Number (OCA #). This number is provided by DSHS to the applicant, they are required to provide it to DOH on their application. DOH provides this back to DSHS to let them know which applications we have received. DSHS, in turn, passes this list to SEIU who confirms state pay applicants in the data feeds below. The following information must be received (or retrieved) from SEIU: • **Application Benefit list**. This list tells DOH which applicants have been authorized for state pay of their application fee. • **Exam Benefit list**. This list tells DOH which applicants have been authorized for state pay of their examination fee. • **Bulk Payment**. The payment received from SEIU is not a data exchange per se. It is mentioned here only for the clarification. The following information must be retrieved from DSHS: • **Status of the DSHS Background Check**. This allows background check staff to look up background checks on applications that are ready (and not waist time checking applications that are not ready). The following information must be provided to Prometric: • List of applicants authorized for examination. • Payment for exams. This is also not a data feed per se but mentioned here for clarity.
User Roles	System

7.2.2 Use Case: Post Bulk Payment

Purpose	To split the bulk payment into payment detail records that can be posted to individual fees.
Description	• System appropriates the bulk payment to the authorized state pay application and exam fees by creating payment detail records that are posted using the standard Payment Posting process. • Ideally the standard Payment Posting process can be leveraged to resolve over payments due to the possibility that the applicant both made payment AND qualified for state pay. If not, then a special resolution process is needed for these situations.

User Roles	System

7.2.3 Use Case: View Status of DSHS Background Check

Purpose	View status retrieved from DSHS on the requested background checks.
Description	• Status would be either *In Progress*, *In Error*, *Complete*. • Ideally, if there is an error, the system will be able to retrieve and display details. This is so that if the error is due to bad or missing information from the applicant, a deficiency can be logged and resolved (using the Deficiency Resolution process).
User Roles	Home Care Aide Unit Staff

7.2.4 Use Case: View Home Care Aide Provisional Certification Requests

Purpose	To view provisional certification requests and be able to act on them.
Description	• View list of provisional certification requests (that have not been decided). • View status of the associated application. If not associated (by the system), allow for manual association. • View status of retrieving the hire date from DSHS.
User Roles	Home Care Aide Unit Staff

7.2.5 Use Case: Decide Provision Certification Request

Purpose	To grant or deny a provisional certification request.

Description	For provisional certification requests where application has passed intake checks, and hire date has been received, the user can:
	• Grant provisional certification.
	• Deny provisional certification. Must provide reason.
	• System generates a notification to the applicant and:
	    o Sends it automatically, if possible (email, etc.)
	    o Allows user to print the notification so it may be mailed.

User Roles	Home Care Aide unit staff

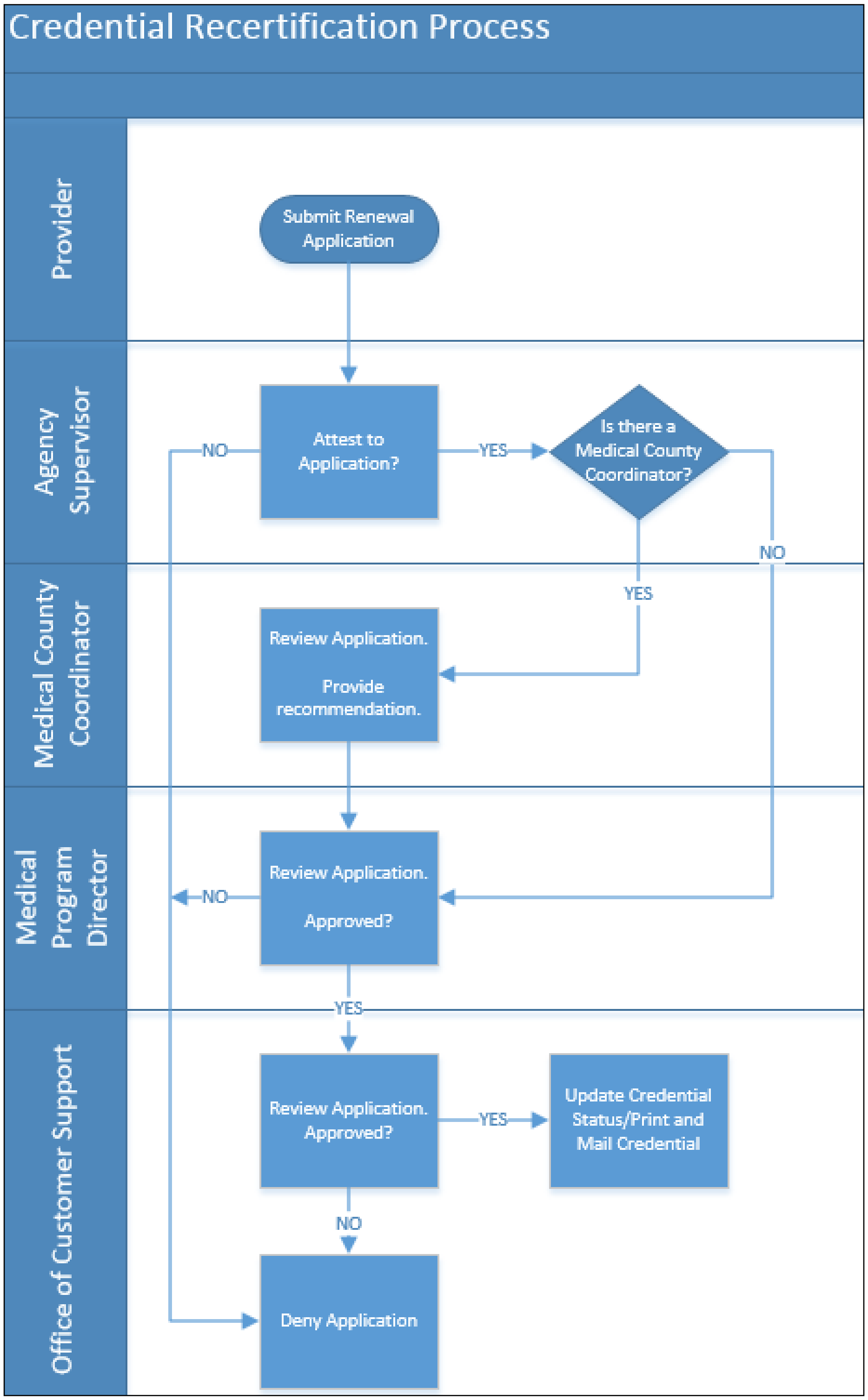
8 Credentialing - EMS

8.1 Processes

8.1.1 Process: EMS Online: Recertification

Purpose	To provide online renewal for EMS providers including support for the entire approval process

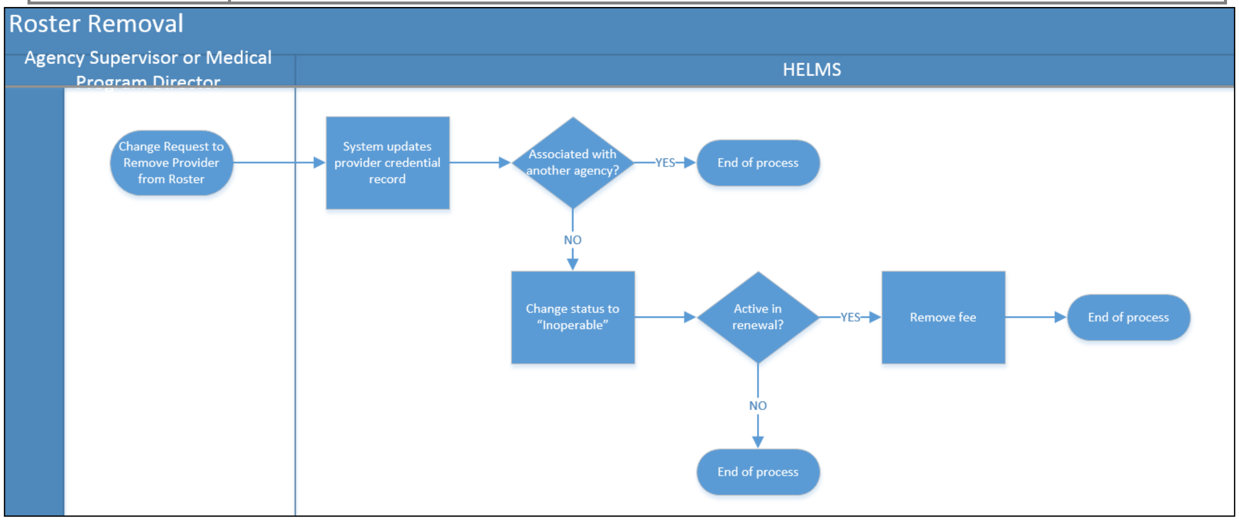
Owner	OCS
Inputs	• EMS renewal application • Application may include agency changes • Online attestations
Outputs	• Email notifications • Credential updated and certificate printed • Application denials
Notes	To provide online renewal for EMS providers including support for the entire approval process



8.1.2 Process: Roster Removal

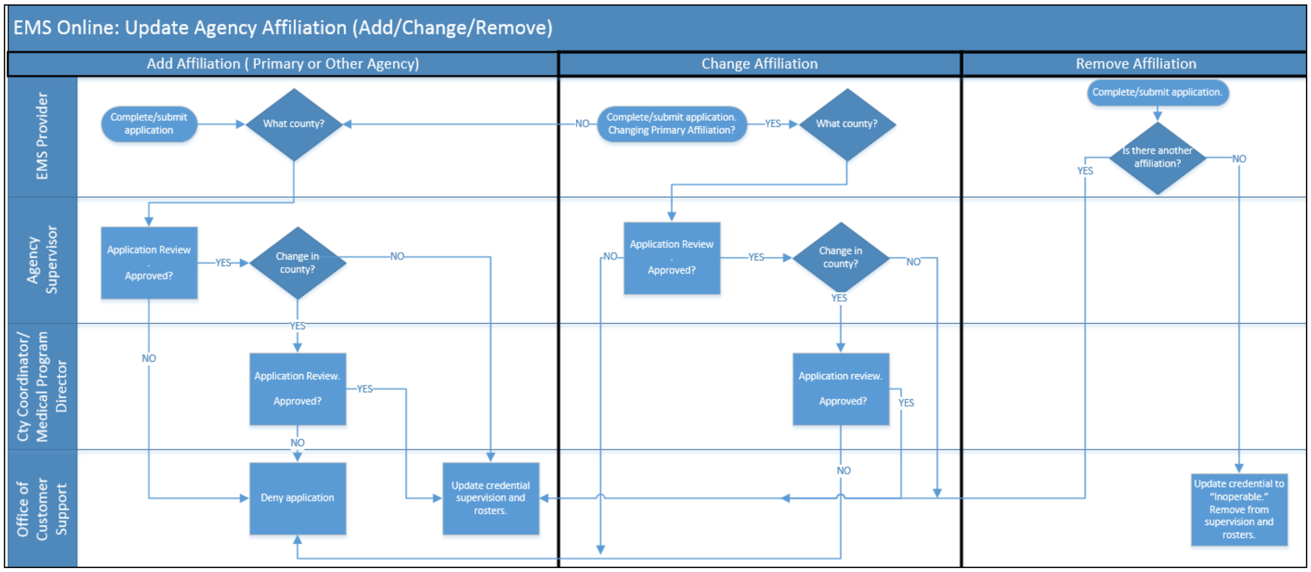
Purpose	To allow health care agencies to remove providers from their active roster.
Owner	OCS

Inputs	Change request to remove affiliation
Outputs	Updated affiliation
Notes	This will allow health care agencies to maintain their provider rosters in real time.



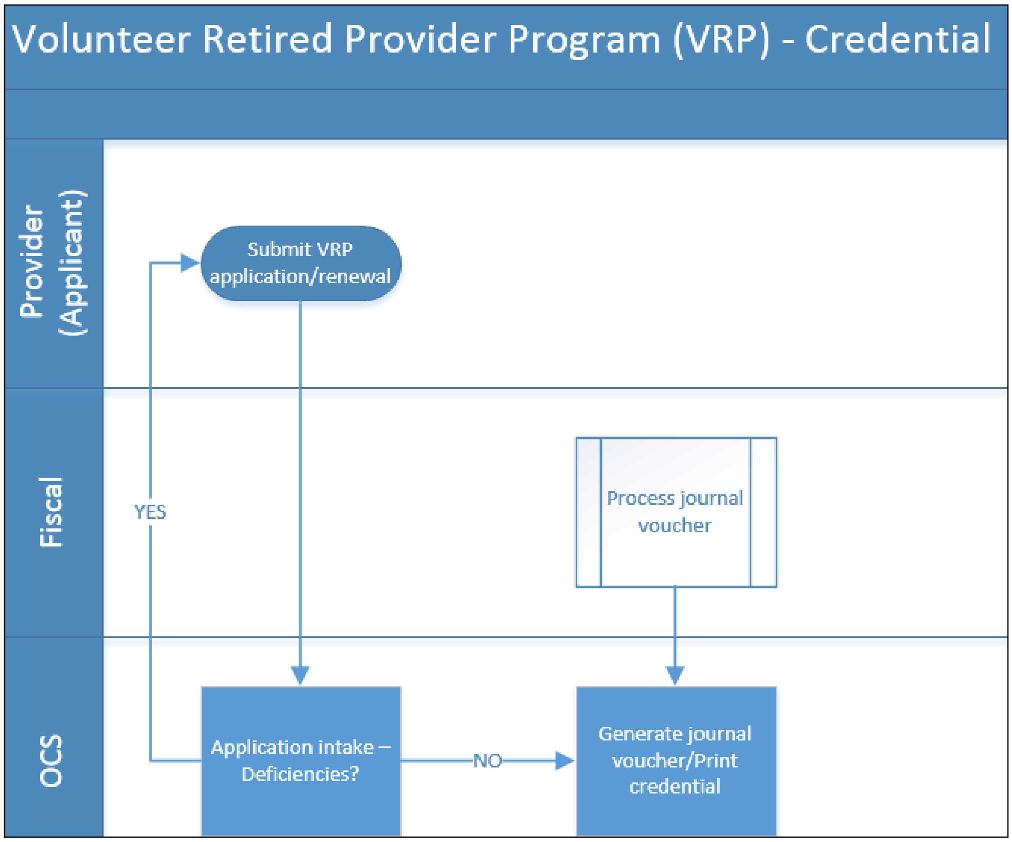
8.1.3 Process: Change Agency Affiliation

Purpose	To allow individual providers to change their agency affiliation.
Owner	OCS
Inputs	• Provider request
Outputs	• Change of affiliation • Change to provider roster • Possible change to credential status if deemed "inoperable"
Notes	This process allow individual providers to add, update or remove their agency affiliation.



8.1.4 Process: Volunteer Retired Provider Program (VRP) - License

Purpose	To allow retired physicians to become a volunteer health care provider. Providers approved this license have their accreditation paid for.
Owner	Office of Customer Services (OCS)
Inputs	Application
Outputs	Accreditation Payment
Notes	To allow retired physicians to become a volunteer health care provider. Providers approved for this program have their accreditation paid for by DOH. Providers approved for this program do not receive compensation for their service



8.2 Use Cases

8.2.1 EMS Online: Recertification

To provide online renewal for EMS providers including support for the entire approval process.

8.2.1.1 Use Case: Complete/Submit Application

Purpose	To allow an EMS Provider to complete a recertification application online.

Description	System must:
	• Notify the user that recertification of their credential is due when:
	  o They have an active credential, and;
	  o The system date is X number of days within the credential expiration date (X is configurable).
	• Send recertification reminder notices every X days until the certification is renewed, OR, until the certification has expired, whichever is first (X is configurable).
	• .Allow user to complete the recertification application online ONLY when the credential is within the recertification period.
	• Check application for completeness.
	• Allow user to submit the application once it is complete.
	• Allow user to save incomplete applications and return later to complete.
	• Send a confirmation when the application has been submitted.
	• Display progress of application through the approval process.
	• Send alert to Agency Supervisor that recertification application is ready for review

User Roles	EMS Provider

8.2.1.2 Use Case: Review Application - Agency Supervisor

Purpose	To allow the Agency Supervisor to attest to the EMS recertification application online
Description	System must: • Alert user that a recertification application is awaiting review. • Support a “checklist” type review environment. • Allow user to “Attest” to the application. • (If approved) Send notification to the County Coordinator (if applicable) or the MDP (if no coordinator is in the county) • Send notification to the provider when the application has been approved by the Agency Supervisor. • (If denied) Send notification to OCS that a recertification application denial is awaiting processing. • Require user documentation when the application has been denied.
User Roles	Agency Supervisor

8.2.1.3 Use Case: Review Application - Medical County Coordinator

Purpose	To allow the Medical County Coordinator to review the application and provide a recommendation to the Medical Program Director (MPD)

Description	System must: • Alert user that a recertification application is awaiting review. • Support a "checklist" type review environment. • Allow user to provide/document recommendation to the MPD. • Require user documentation when the recommendation is to deny. • Notify the MDP when the recommendation is ready for review.
User Roles	Medical County Coordinator

8.2.1.4 Use Case: Review Application - Medical Program Director (MPD)

Purpose	To allow the MPD to review the Program Director recommendation (if applicable) and/or application
Description	System must: • Alert user that a recertification application recommendation is awaiting review. • Support a "checklist" type review environment. • Allow user to disposition the application. • Require user documentation when an application has been denied. • Send notification to OCS advising of the disposition of the application. • Send notification to the EMS Provider if the application has been approved by the MPD.
User Roles	Medical Program Director

8.2.1.5 Use Case: Review Application Approval - OCS

Purpose	For OCS to review application for technical requirements and support or deny the approval recommendation
Description	System must: • Alert user that there is a recertification application for review. • Support a "checklist" type review environment. • Allow user to disposition the application (if denied, see OCS – Denial) • Update credential • Send notification to the EMS Provider that the application has been approved. • Print credential
User Roles	OCS

8.2.1.6 Use Case: Review Denied Application - OCS

Purpose	To review and deny the recertification application

Description	The system must: • Alert user there is a recertification application denial ready for review. • Allow user to deny application • Require user documentation when denying application. • Send notification to the EMS Provider that the recertification application has been denied and the reason(s) for denial.
User Roles	OCS

8.2.2 Roster Removal

To allow health care agencies to remove providers from their active roster.

8.2.2.1 Use Case: Enter Change Request to Remove Provider

Purpose	To allow an agency representative or Medical Program Director (MPD) to remove an EMS Provider from affiliation with their agency
Description	The system must: • Allow Agency User access to the agency roster. • Only allow Agency User access to rosters they have authority to change. • Only allow user access to one roster at a time if they have update access to multiple rosters. • Allow user to remove multiple providers from a roster at one time. • Notify associated provider(s) of the change.
User Roles	Health Care Agency User Medical Program Director

8.2.2.2 Use Case: Update Records

Purpose	To update the records associated with the roster change. The system will trigger and complete updates.

Description	The system must:
	• Update the associated providers credential record.
	• Check for other agency affiliation
	  ○ If affiliated with another agency - Remove from roster, End Process
	  ○ If NOT affiliated with another agency - Change credential status to "Inoperable"
	    ▪ The system must notify associated OCS staff when a status is changed to "inoperable."
	• Check for "Active in Renewal" status
	  ○ If yes - Remove any associated fee, remove from roster and End Process.
	  ○ If no - Remove from roster, End Process
	• Maintain a historical record of agency roster including affiliation date spans, effective dates. and date of the change.

User Roles	HELMS Process

8.2.3 Change Agency Affiliation

This process allows EMS Providers to change their agency affiliations online. Changing an affiliation includes the following:

- **Add an Affiliation** - this process allows the user to add an affiliation, either primary or secondary.
- **Change an Affiliation** - This process allow the user to change one agency to another.
- **Remove an Affiliation** - This process allows the user to remove an affiliation, either primary or secondary.

8.2.3.1 Use Case: Complete/Submit Application

Purpose	This process allows EMS Providers to change their agency affiliations online.

Description	System must:
	• Accommodate the following affiliation changes:
	  o **Add an Affiliation** - this process allows the user to add an agency, either primary or secondary.
	  o **Change an Affiliation** - This process allow the user to change one agency to another.
	  o **Remove an Affiliation** - This process allows the user to remove an agency, either primary or secondary
	
	• Only allow a licensed provider to request these changes.
	• Only give user the "change" options available to them e.g. Add Affiliation (primary/secondary), Change Affiliation, Remove Affiliation. For example, if an EMS provider has no associated agencies assigned to them, they would only have an ADD option.
	• Allow user to complete and submit application online.
	• (When Adding or Changing an affiliation) Require the user to designate the county the new affiliation resides. Based on this selection, the system will provide the user a list of agencies within the selected county for them to select from.
	• Show providers current affiliates
	• Provide a historical view of their online activity for the past X years/months (X is configurable).
	• Check the application for completeness.
	• Not allow user to submit the application if it is incomplete.
	• Alert user if they are removing their Primary Agency and require confirmation to proceed (removing primary affiliation will render certification "inoperable").
	• Allow user to upload additional documents and index them to the related application.
	• Not allow user edit access once application has been submitted.
	• Allow user to print the application.
	• (When Adding or Changing an affiliation) Notify associated Agency Supervisor user that an application has been submitted.
	• (When Removing an affiliation) Notify OCS there is an application awaiting their review.

User Roles	EMS Provider

8.2.3.2 Use Case: Review Application - Agency Supervisor

Purpose	To allow the agency supervisor to review a request from an EMS provider to become affiliated with their agency.

Description	System must: • Alert the agency supervisor that there is an online request for review. • Provide a record of the requesting EMS Providers agency affiliations. • Allow agency supervisor to approve or deny the request. *If the application is approved, and the request is adding an agency in the same county;* • Allow user to disposition the application and document the approval • Alert OCS user that an application for a change has been approved. • Send notification to the EMS Provider that the Agency Supervisor has approved their request. *If the application is approved, and the request is for adding an agency in a new county;* • Alert the County Coordinator (if applicable) or the MPD (if no county coordinator) of the new county that there is an application for review. • Send notification to the EMS Provider that the Agency Supervisor has approved their request. *If the application is denied;* • Allow user to disposition the application and require user to document the reason for denial • Alert OCS staff that application is denied.
User Roles	Agency Supervisor

8.2.3.3 Use Case: Review Application - County Coordinator/MPD

Purpose	To allow the County Coordinator (if applicable) and/or the MPD to review a request from a provider to be affiliated with an agency within their county.
Description	*If there is a County Coordinator - The system must:* • Alert the user that there is an application for review. • Allow user to provide a recommendation to the MPD • Require the user to document the reason for the recommendation. • Alert the MPD there is a recommendation awaiting review *If there is an MPD - The system must:* • Provide alert that the application/recommendation is awaiting review. • Allow review of case record and previous notes. • Require the user to disposition and document the reason for their recommendation. • Allow MPD to disposition application with or without the County Coordinator recommendation. • Alert OCS user advising of the disposition of the application.

User Roles	County Coordinator MPD

8.2.3.4 Use Case: Disposition Application - Denial

Purpose	To allow user to disposition a denied application.
Description	The system must: • Allow user to close application as denied. • Send notification to the applicant that their application has been denied.
User Roles	OCS User

8.2.3.5 Use Case: Disposition Application - Approval

Purpose	To allow user to disposition an approved application.
Description	When Adding or Changing and affiliation, the system must: • Allow user to disposition application as approved. • Update provider credential removing old affiliations and adding the new affiliation. • Update Agency rosters removing provider from the previous agency roster and adding affiliation to the new agency. • Send notification to the provider that their application has been approved. *- If the current status of the provider credential is "inoperable", and an agency has been added, the system must:* • Change the credential status to "Active" • Check effective dates • Check expiration dates When removing and affiliation, and no other agencies are associated with the credential, the system must: • Allow user to disposition application as approved. • Update provider credential removing affiliations, putting the credential in "Inoperable" status. • Update the previously associated agency rosters, removing provider. • Send notification to the provider that their application has been approved and that their credential is now "inoperable."
User Roles	OCS

8.2.4 Volunteer Retired Provider

8.2.4.1 Use Case: Submit VRP Application/Renewal

Purpose	To allow providers to submit an initial VRP application and/or renewal application online.
Description	System must: • Allow user to complete and submit application online. • Allow user to print the application. • Differentiate if the Provide user is an initial applicant or renewal applicant and provide the appropriate application • Check the application for completeness. • Not allow user to submit the application if it is incomplete. • Allow user to upload additional documents and index them to the related application. • Not allow user edit access once application has been submitted. • Notify OCS user that an application has been submitted.
User Roles	Provider/Applicant User

8.2.4.2 Use Case: Intake/Review Application

Purpose	To allow OCS staff online access to submitted application or renewal.
Description	System must: • Check for current VRP accreditation status. • Allow user to review the applicants original credential for qualification. • Provide a checklist of program requirements. Results determine application status. • Accommodate scanning and indexing of documentation received during review, associating the documentation with the appropriate application within the system • Validate address against address of record. • Check for Enforcements, flagging open enforcements. • Notify the OCHS program if there are open enforcements for applications or recertifications for which there is current VRP liability insurance coverage. • Allow OCS to only renew VRP participation at appropriate renewal interval • Calculate credential renewal fee • Allow DOH to pay original credential renewal fee for approved VRP applicant credential (note: approval of VRP application and original credential renewal are prerequisites of DOH payment)
User Roles	OCS

8.2.4.3 Use Case: Create Journal Voucher and Print Credential

Purpose	To create a journal voucher which is used for payment of the associated providers license fees and print the corresponding credential.

Description	The system must: • Give the OCS user the option to generate a journal voucher, once the application is designated as approved. • Pre populate the voucher with all the associated details related to payment of the VRP License fees • Refer/send the JV to fiscal for payment processing. • Notify Fiscal User that a JV is ready for processing. • Allow user to initiate Print and mail of the appropriate credential.
User Roles	OCS User

8.2.4.4 Use Case: Pay Journal Voucher

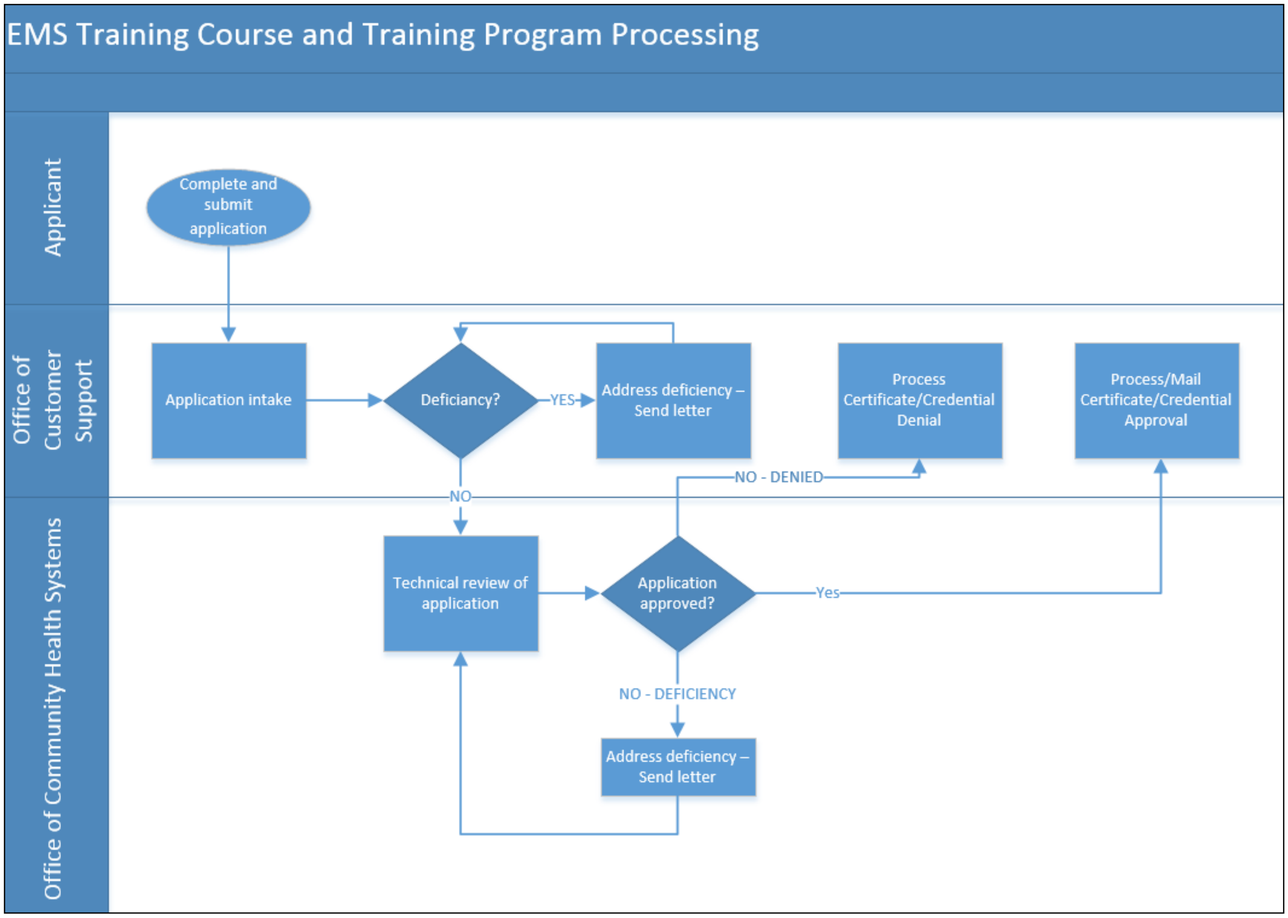
Purpose	To pay the fees associated with the approved credential
Description	System must: • Allow user to initiate payment of the journal voucher. • Post payment details in client record • Allow user to decline payment of the journal voucher. • Alert the associated OCS and OCHS user if the JV has been declined for payment
User Roles	

9 Education - EMS Training

9.1 EMS Training Course and Training Program Application Process

9.1.1 Process: EMS Training Course and Training Program Review and Approval

Purpose	To review and approve EMS training programs and Instructor led courses.
Owner	Office of Community Health Systems (OCHS)
Inputs	• Application
Outputs	• Approval letter • Credential • Certificate • Denial letter
Notes	This process is used for: 1. Reviewing applications submitted by providers for proposed EMS Training Courses. 2. Reviewing applications submitted by providers for proposed EMS Training Programs



9.2 EMS Training Course and Training Program Application Use Cases

9.2.1 Use Case: Submit Application

Purpose	To allow application to be submitted by the applicant online or by mail to the DOH.

Description	System must: • Allow application to be completed and submitted online. • Accommodate waiving the online fee payment at the time application is submitted (payment process). No fee is required for this program • Allow designation of contacts for training program notifications. • Notify OCS staff that an application has been submitted and ready for review. • Allow OCS to input application information when an application has been received by mail. • Allow for manual processing waiving of fees when application is received by mail. There is no fee payable for this program • Allow user to upload documents, indexing them to the original application. • Not allow user edit capabilities after the application has been submitted.
User Roles	Applicant

9.2.2 Use Case: Intake Application - Administrative Review

Purpose	To ensure application meets all administrative requirements
Description	System must: • Support a check list type of review process. • Determine application status based on checklist results. • Accommodate scanning and indexing of documentation received during program review, associating the documentation with the application within the system. • Validate UBI. • Allow user to send notification to the applicant for any deficiencies. • Allow user to set and track due dates for information requested (see Pend Application - Deficiency). • Allow the applicant to submit a response and any documentation required. • Allow OCS user to indicate when review is complete. • Notify the appropriate program area/OCHS user that an application is ready for "technical" review.
User Roles	OCS

9.2.3 Use Case: Intake Application - Technical Review

Purpose	To ensure the application meets all the required technical aspects required by law.

Description	System must: • Support a checklist type review process. • Determine application status based on checklist results • Allow user to send notification of the applicant when there is a deficiency. • Set due dates for receipt of the information. • Accommodate a Variance identifying the "type". • Associate variance to the appropriate WAC standard. • Allow the user to send correspondence to the applicant to notify them of any technical deficiency, set and track due dates for receipt of the information. • Alert user when a response has been received from the applicant. • Capture all disposition dates.
User Roles	OCHS

9.2.4 Use Case: Review Application - Variance

Purpose	To ensure a "Variance" goes through the appropriate review and approval process.
Description	System must: • Allow user the option to identify the variance type from a list (Stds from WAC) • Require supervisor approval of any variance. • Notify the appropriate supervisor that variance is awaiting disposition. • Allow supervisor to approve or deny variance. • Notify appropriate staff of variance approval/denial. • Retain the variance certification period. • Alert users of variance expiration dates
User Roles	OCHS Program Managers OCHS Supervisors

9.2.5 Use Case: Approve Application

Purpose	Notify OCS that application has been approved and the certification period.
Description	System must: • Alert OCS that an application has been approved • Retain historical begin and end dates. • Set a notification for the user of future expiration dates. • Require supervisor approval for extensions of existing certification periods. • Provide public access to search for approved courses. • Allocate a course ID in compliance with Fire Marshall numbering standards. • Preserve legacy numbers

User Roles	OCHS OCS

9.2.6 Use Case: Deny Application

Purpose	To ensure OCS is notified of denial
Description	System must: • Notify OCS staff that the application has been denied. • Notify OCS staff the reason for denial. • Disposition the application as "Denied"
User Roles	OCHS OCS

9.2.7 Use Case: Send Approval Letter and Certificate/Credential

Purpose	To deliver credential or certificate to the applicant
Description	• Notification must be sent to OCS staff that credentials are ready for processing. • Approval letter must be sent to multiple points of contact (Regional training program, Trainers, EMS Instructor, etc.) • Print and mail certification to applicant.
User Roles	OCHS OCS

9.2.8 Use Case: Process Certificate/Credential Denial

Purpose	Correspondence sent to the applicant informing them of the denial and reasons for the denial
Description	System must: • Support letter generation with templates and free form text. • Auto populate letter with all relevant information. • Keep a chronological history of all notifications sent.
User Roles	OCS

9.2.9 Use Case: Pend Application - Deficiency

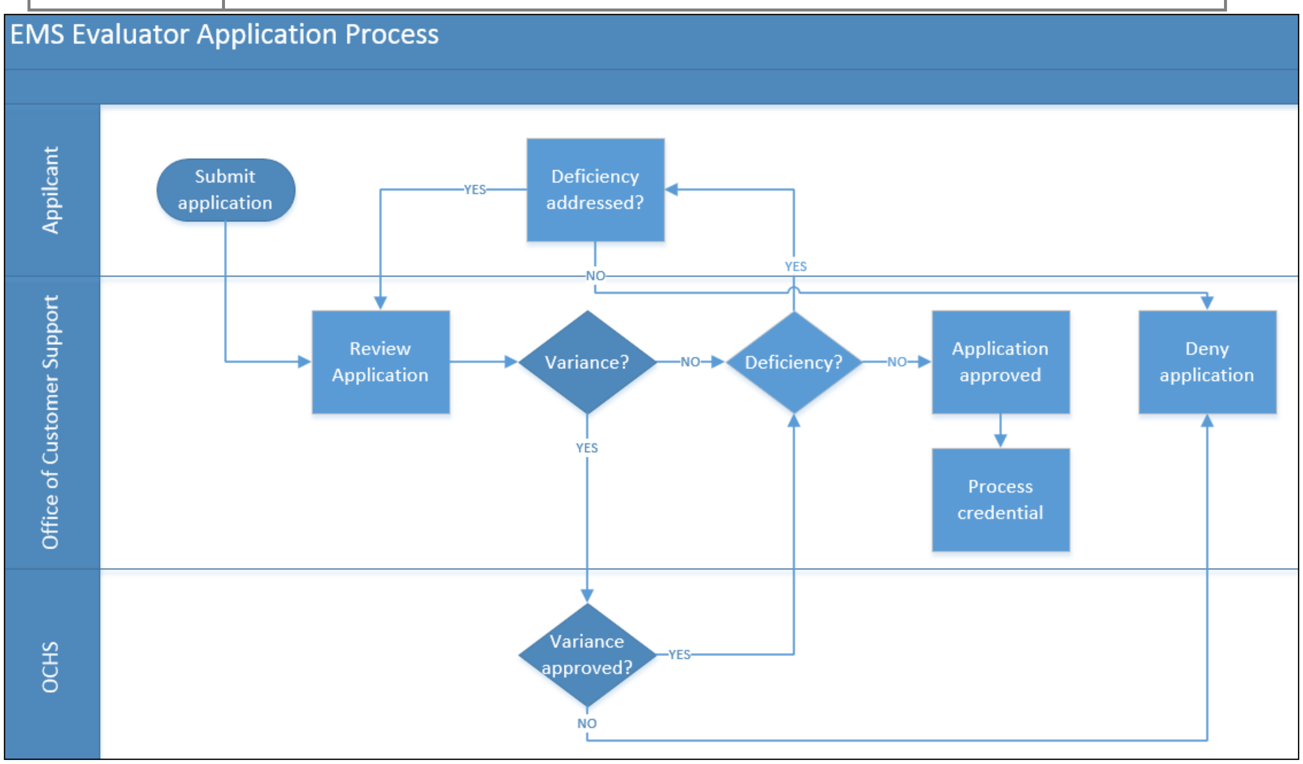
Purpose	To allow applicant time to resolve deficiency and have application reviewed again

Description	System must: • Generate template letters allowing free form text. • Set and track due dates for deficiency notifications • Save correspondence history associated with application • Notify the associated user when a response is received from the applicant.
User Roles	OCHS OCS

9.3 EMS Evaluator Application Process

9.3.1 Process: EMS Evaluator Application Review and Approval

Purpose	To have a consistent process for hiring EMS Evaluators
Owner	Office of Customer Support (OCS)
Inputs	Application
Outputs	Credential Endorsement/Certificate. Credential Endorsement Denial
Notes	This outlines the process for eligible Emergency Medical Service personnel to apply for an EMS Evaluator Position with the DOH.



9.4 EMS Evaluator Application Use Cases

9.4.1 Use Case: Submit Application

Purpose	To allow application to be submitted online or by mail to the DOH.
Description	System must: • Allow the user to complete an application on line. • Allow OCHS users to input applications online. • Allow user to upload (attach) supporting documentation to the application • Index additional documentation to the original application. • Allow user to save and edit application up until the time it is submitted. • Not allow further editing to documents once the application is submitted. • Notify OCHS when an application has been submitted. • Give the user a visual status of their application and dates of the status as it proceeds through the process
User Roles	Applicant

9.4.2 Use Case: Review Application

Purpose	To ensure application meets all technical and administrative requirements
Description	System must: • Alert user when application is awaiting review. • Allow OCS users to review applications online. • Allow OCS users to input applications online. • Provide an interactive checklist type environment for users to validate requirements. • Checklist will drive status of application. • Allow user to send application back to applicant to rectify any issues. • Set and track due dates for return of information. • Alert Applicant User that application has been returned. • Allow applicant user to change information on the application and allow uploading of additional documentation, indexing them to the original application. • Notify OCS user when information is returned. • Allow OCS User to designate the Review as complete.
User Roles	OCS

9.4.3 Use Case: Review Variance

Purpose	To allow DOH Program to review a variance. All variance recommendations require a supervisor disposition

Description	The system must: • Notify OCHS that a variance is awaiting review. • Allow Consultant to recommend an approval or denial of a variance. • Must associate a variance request with the application. • Require the Consultant recommendation to include a note supporting the recommendation. • Notify the associated supervisor that a variance recommendation is awaiting disposition. • Require supervisor disposition of any variance recommendation. • Require a note supporting the variance decision • Send a notification to OCS of a Variance disposition.
User Roles	OCHS Consultant OCHS Supervisor

9.4.4 Use Case: Process Application Deficiency

Purpose	To notify the applicant that their application is incomplete.
Description	The system must: • Allow OCS user to designate the application as "Deficient." • Generate a notification to the applicant that the application is incomplete, listing the specific deficiencies. • Accommodate scanning and indexing of documentation received during the review, associating the documentation with the application within the system • Allow the user to rectify the deficiencies and resubmit the application and/or additional documentation. • The system must notify OCS staff the application/information has been resubmitted for review.
User Roles	OCS Applicant

9.4.5 Use Case: Approve Application

Purpose	To approve an application once the deficiencies, if any, have been resolved.
Description	The system must: • Allow user to designate the application as approved when no outstanding deficiencies or variances exist. • Give the user the option to align certification periods for applicants with more than one credential and differing expiration dates. • Generate the appropriate approval correspondence to the applicant.
User Roles	OCS

9.4.6 Use Case: Process Credential

Purpose	To process and deliver the credential to the applicant.

Description	The system must: • Notify the user that a credential is awaiting printing and mail. • Print the credential • Disposition and close application as "Approved".
User Roles	OCS

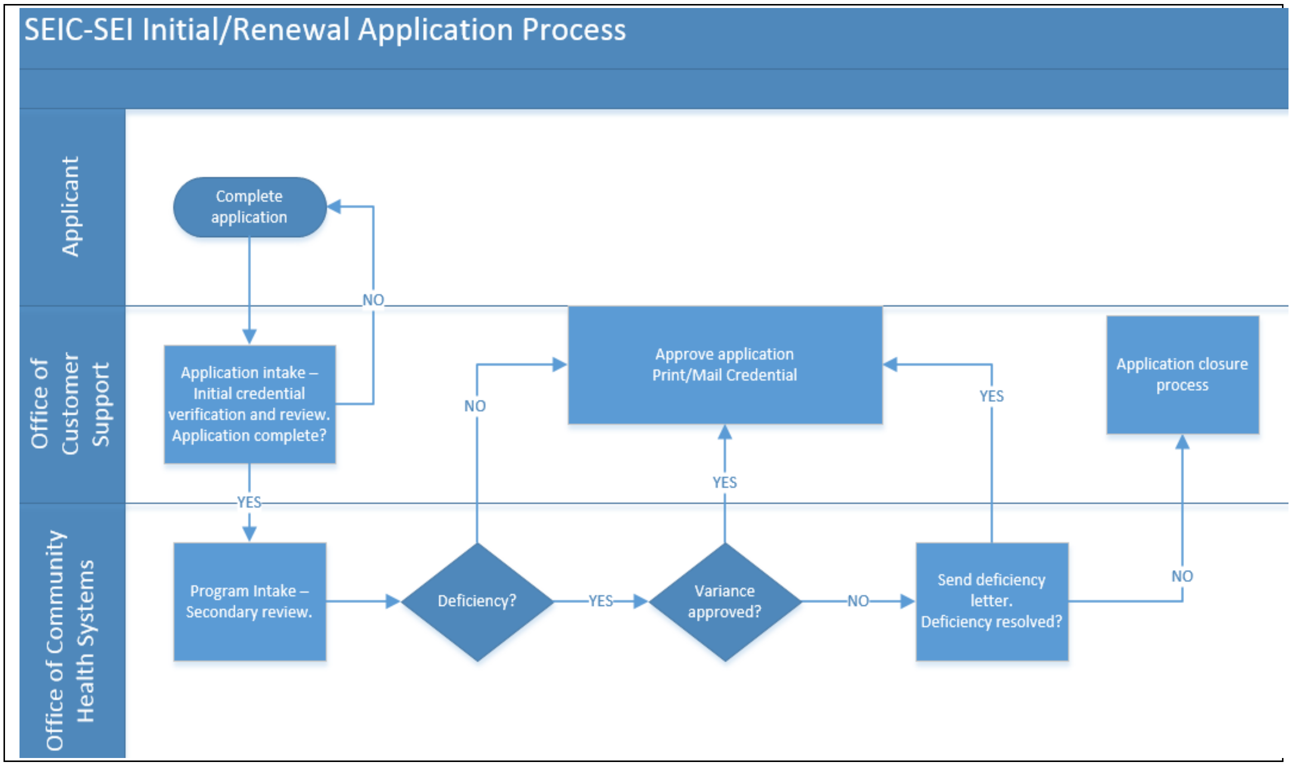
9.4.7 Use Case: Deny Application

Purpose	To deny applicants that do not meet the requirements for the program.
Description	System must: • Allow denial of an application • Disposition and close the application as "Denied." • Send notification to the applicant notifying them of the denial and reason for the denial.
User Roles	OCS

9.5 Senior EMS Instructor Application Processes

9.5.1 Process: Senior EMS Instructor Application and Approval

Purpose	To certify individuals who have met prerequisites to become an EMS instructor
Owner	OCHS
Inputs	• Application
Outputs	• Initial Recognition Application Packet (IRAP) • Letter of Certification • Certification Denial
Notes	To certify individuals who have met prerequisites to become an EMS instructor (so they can instruct a course under an SEI's supervision)



9.6 Senior EMS Instructor Applications Use Cases

9.6.1 Use Case: Review Application - Secondary Review

Purpose	This is a secondary review after receiving the application from the OCS
Description	System must: • Alert user there is an application ready for secondary review. • Associate application record with application documentation. • Allow the user to complete a list of requirements noting any deficiencies. • Not give the user the option to approve an application when there are unresolved deficiencies or variances. • Allow for a variance request any time there is a deficiency. • Allow the user to refer applications to a supervisor where a Variance has been requested. • Allow the OCHS user to designate the application as approved when no outstanding deficiencies or variances exist. • Notify OCS Credential staff when an application is approved.
User Roles	OCHS

9.6.2 Use Case: Review Variance Request

Purpose	To obtain an approval or denial of a variance from an OCHS Supervisor

Description	System must: • Alert the user that a variance is awaiting disposition. • Allow the user to approve or deny the variance request. • Send notification of the variance determination to the associated worker.
User Roles	OCHS Supervisor

9.6.3 Use Case: Approve Variance

Purpose	To approve a variance request
Description	System must: • Only allow a supervisor to disposition a variance. • Allow user to document reason for disposition, supported by WAC references (drop down menu selection) • Notify the associated worker at OCS that the application has been approved. • Prepare the IRAP for mailing by OCS Credentialing.
User Roles	OCHS Supervisor

9.6.4 Use Case: Deny Variance

Purpose	To deny a variance request
Description	The system must: • Only allow a supervisor to disposition a variance. • Allow user to document reason for disposition, supported by WAC references (drop down menu selection) • Notify associated OCHS staff that the variance request has been denied.
User Roles	

9.6.5 Use Case: Send Deficiency Letter

Purpose	To notify applicant that a deficiency exists with their application that needs to be resolved.

Description	System must: • Generate letter auto filling pertinent information re the deficiencies as well as free form text box for user to provide additional information. • Allow for scanning and indexing of deficiency response from applicant. • Provide notification to the associated user of a deficiency response being received. • Allow for approval or denial of deficiency response with explanation of reason. • Allow for multiple deficiency notices to be sent for the same application. • Generate auto warning letters when there is no response from the applicant regarding a deficiency. • Recognize when the deficiency has been met and notify associated OCS Credential user that application has been approved and is awaiting disposition.
User Roles	OCHS

9.6.6 Use Case: Approve Application - No Variance

Purpose	To approve secondary review and forward to OCS for processing
Description	System must: • Allow User to approve application. • Allow user to send notification to OCS that the secondary review has been approved. • Prepare the IRAP for mailing by OCS Credentialing.
User Roles	OCHS

9.6.7 Initial Recognition/Renewal Application

This is a log of applicants course requirements and progression through the course.

9.6.8 Use Case: Complete IRAP

Purpose	To allow the applicant and instructors access to the IRAP for update.
Description	• System must: • Validate the applicant is active and eligible for SEIC or SEI certification • Monitor specified time periods for completion • Track time lapse and notifications/responses • Allow external approving party to assign additional educational requirements to applicant • Allow external approving party to recommend approval/denial of objectives or application • Notify applicant when objective or application is denied • Allow "program" to issue variance for proposed objectives

User Roles	OCHS Applicant Instructors

9.6.9 Use Case: Complete/Submit Application

Purpose	To allow user to complete and submit an application online
Description	The system must: • Allow the user to complete an application on line. • Determine if applicant user is an initial applicant or a renewal, and give them the appropriate application to complete. • Allow OCS users to input applications online. • Allow user to upload (attach) supporting documentation to the application • Index additional documentation to the original application. • Allow user to save and edit application up until the time it is submitted. • Not allow further editing to documents once the application is submitted. • Notify OCS when an application has been submitted. • Give the user a visual status of their application and dates of the status as it proceeds through the process
User Roles	Applicant User OCS User

9.6.10 Use Case: Intake Application - Initial Review/Credential Verification

Purpose	To intake application and verify applicant has the appropriate pre requisite credentials for the course for which they have applied.
Description	System must: • Alert user when application is awaiting review. • Check for all certifications/credentials held by the applicant. • Provide a checklist type environment for user to validate requirements. • Checklist will drive status of application. • Allow user to send application back to applicant to rectify any issues. • Set and track due dates for return of information. • Alert Applicant User that application has been returned. • Allow applicant user to change information on the application and allow uploading of additional documentation, indexing them to the original application. • Notify OCS user when information is returned. • Allow OCS User to designate the Initial Review ad completed and forward application to OCHS for secondary review.
User Roles	OCS User

9.6.11 Use Case: Process Approved Application

Purpose	To finalize approval of the application
Description	System must: • Alert OCS user the application approval is awaiting processing • Allow user to process approved application, completing certification dates, and track end dates. • Allow user to print and mail credential. • Allow user to create/print/send letters and notices • Close application as "Approved."
User Roles	OCS User

9.6.12 Use Case: Process Denied Application

Purpose	To notify the application the application has been denied.
Description	System must: • Notify OCS staff that the application has been denied. • Notify OCS staff the reason for denial. • Allow OCS to send online and/or paper denial letters, prepopulating relevant information and allowing free form text. • Disposition the application as "Denied"
User Roles	OCS

10 Education - Nursing Education

10.1 Nursing Education Unit

The Nursing Commission's Education Unit approves and oversees nursing education, nursing assistant training and refresher course programs in the state of Washington. Although nursing assistants are not regulated by the commission, their training programs are.

The commission sets education standards that:

- Promote the safe and effective practice of nursing assistants, licensed practical nurses, registered nurses and advanced practice nurses.
- Provide criteria for developing, evaluating, and improving new and established educational programs.
- Ensure candidates are educationally prepared for licensure or certification at the appropriate level of nursing practice.
- Facilitate interstate endorsement of graduates for commission-approved programs of nursing.
- Ensure nursing education standards for out-of-state distant learning programs are equivalent to in-state nursing programs.
- Provide criteria for developing, evaluating, and improving new and established refresher course programs.

10.2 Applications and Program Changes

10.2.1 Program Applications

Per WAC 246-840-510, Nursing Education Programs are developed in four phases:

Phase 1: Submission of application and feasibility study
Phase 2: Nursing education program development
Phase 3: Initial approval
Phase 4: Full approval

The process for Program Development Approval, Initial Approval and Final Approval are treated as separate application and approval processes. The process is the same for each but the information provided and the approval type is different. Other applications have only a single application and approval step.

Here are the main applications types, approval phases, and when they are needed. The table also shows what types of reviews are required and other important notes.

Application type	Approval Type	When needed	Reviews Required	Notes
Nursing Education Program Application	Program Development Approval	Before appointing a Nurse Administrator, hiring faculty or advertising.	Initial, Content and Panel	
	Initial Approval	Before admitting students	Initial, Content and Panel	Out of state programs must complete an additional section. Application must include required staffing applications.
	Full Approval	To continue operating after graduating the first class	Initial, Content, Site Visit and Panel	Section 5 of the current form must be completed.
Nursing Assistant Training Program Application	Program Approval	Before admitting students	Initial, Content, Site Visit (if requested by commission, and Panel	Staffing applications must be included.
Nursing Refresher Program Application	Program Approval	Before admitting students	Initial, Content and Panel	

Staffing Application	Staffing Approval	Part of program application	Initial and Panel	Form depends on the particular position. Nursing Assistant programs have Director and Instructor applications, while Nursing Education Programs have a Nurse Administrator and Instructor applications.

10.2.2 Program Changes

Certain types of changes to approved education/training programs must be applied for or requested. The process for reviewing and approving them is very similar to program applications. Process maps for change review and approval are not included - please refer to program application process maps.

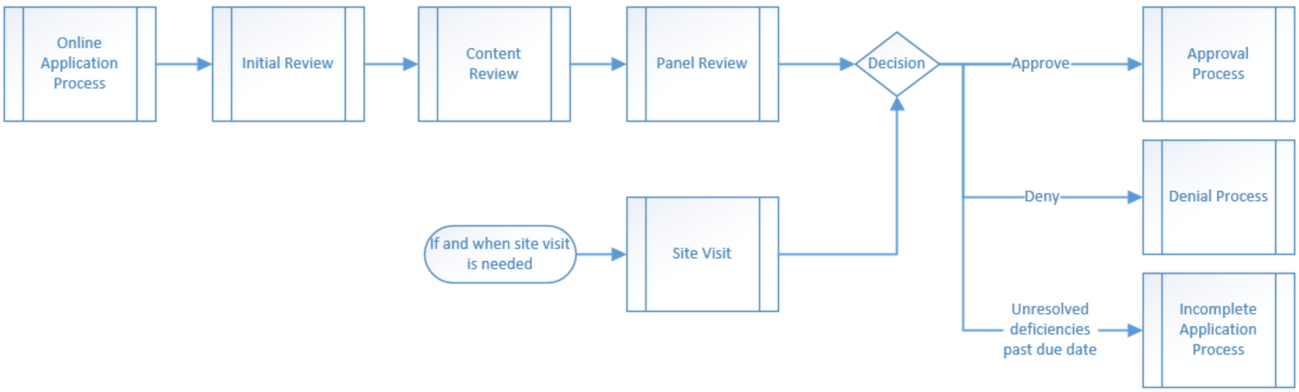
The following program changes must be submitted by established education/training programs when appropriate:

Change Request	When needed	Reviews Required	Notes
Staffing Change	When approved staff change	Initial and Panel	Form depends on the particular position. Nursing Assistant programs have Director and Instructor applications, while Nursing Education Programs have a Nurse Administrator and Instructor applications.
Nursing Program Substantive Change Request	When there is a substantial change to a Nursing Education Program.	Initial, Content and Panel	
Innovation Application	When a program wants to try an innovative approach to a common or standard education practice.	Initial and Panel	
Faculty Waiver Request	When the program is challenged in fulfilling a faculty position requirement.	Initial and Panel	

10.2.3 Process: Overview of Application Process

Purpose	To ensure education/training programs meet the requirements and standards established for their type of program.
Owner	Nursing Commission Education Unit
Inputs	Application submitted by program

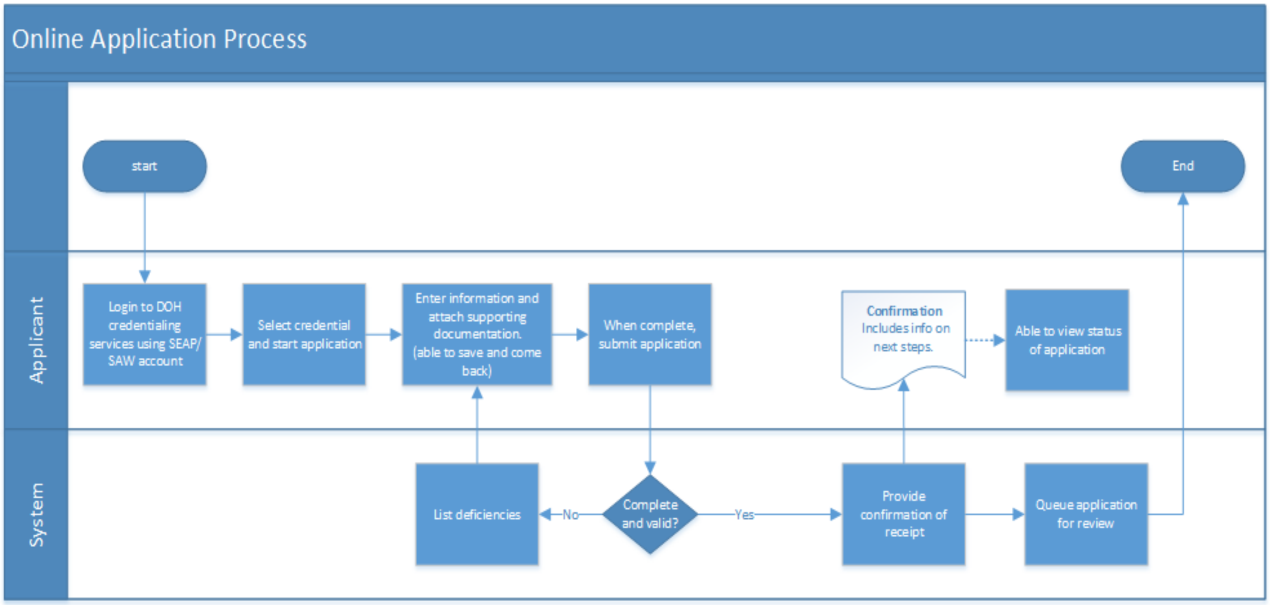
Outputs	One of the following decision letters is sent to the Applicant: • *Letter of Decision,* if application was approved. • *Letter of Determination* if application was denied. Includes instructions on how to appeal. • *Incomplete Application Letter*, if application was closed due to incomplete application and deadline passing.
Notes	Description



Please note, the Content Review and Site Visit are not always needed. Please see the list of application types for more information.

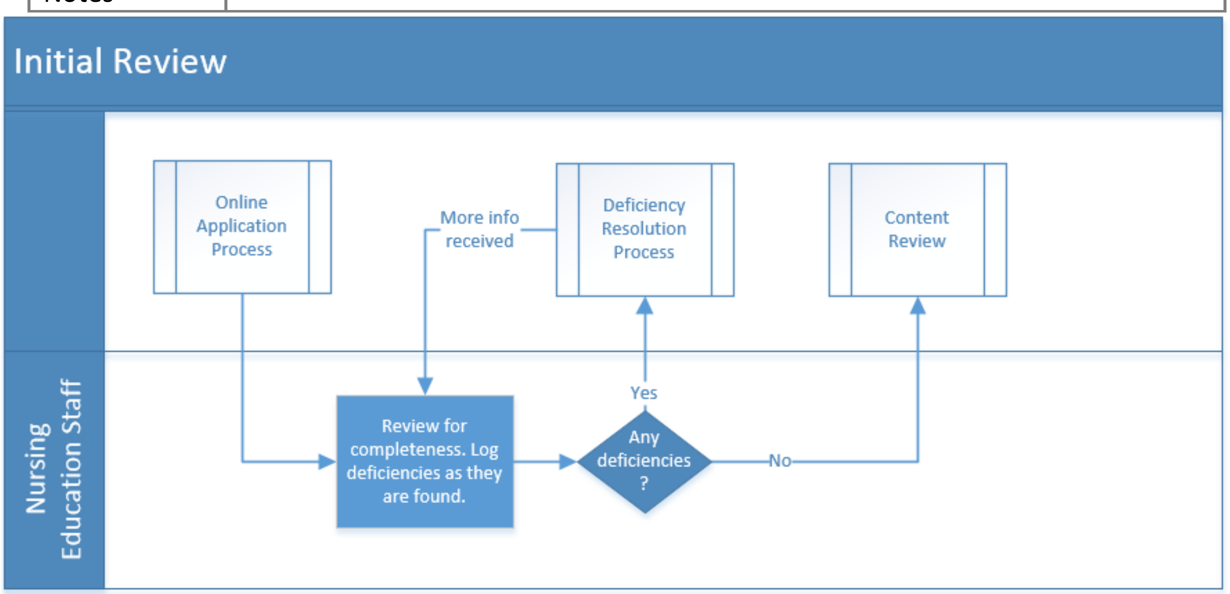
10.2.4 Process: Online Application Process

Purpose	For Applicant to submit an application online.
Owner	
Inputs	Information and records submitted by applicant.
Outputs	Application packet validated by system.
Notes	



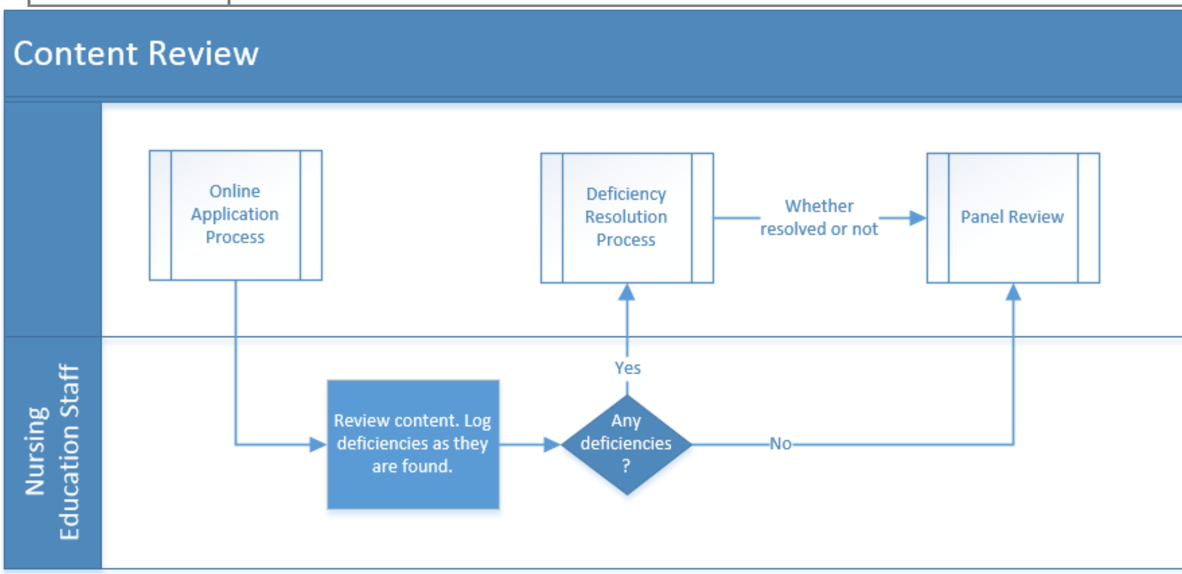
10.2.5 Process: Initial Review

Purpose	To review the application for completeness.
Owner	
Inputs	Application received from applicant
Outputs	One of two possible outcomes: • Complete application • Application with deficiencies - to be resolved by Deficiency Resolution Process.
Notes	



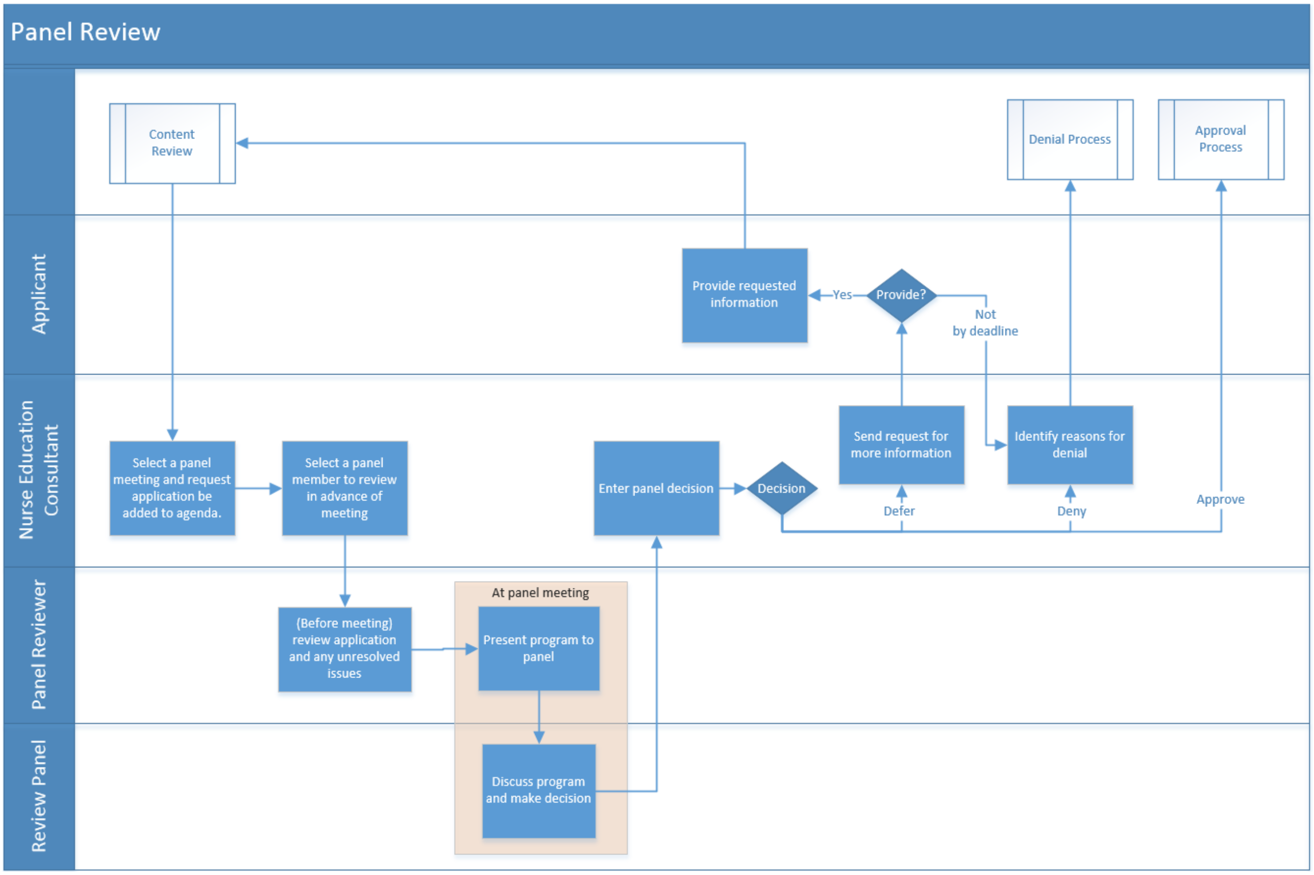
10.2.6 Process: Content Review

Purpose	To ensure the nursing education program meets the required standards.
Owner	Nursing Education Unit
Inputs	A complete application
Outputs	Application with issues identified (if any).
Notes	



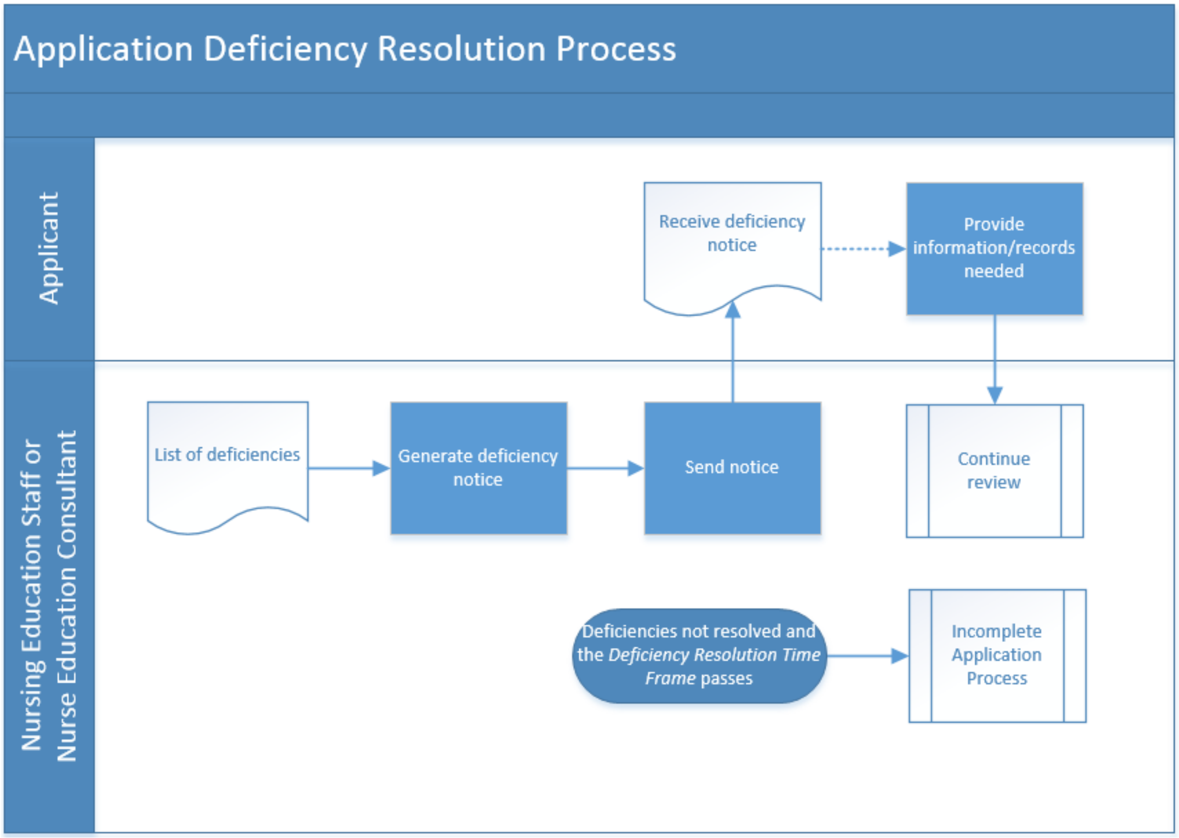
10.2.7 Process: Panel Review

Purpose	To present the education program to the nursing commission and get a decision on its application.
Owner	
Inputs	Reviewed application with issues identified (if any).
Outputs	One of three possible outcomes/decisions: • Approve • Deny - reasons must be provided. • Defer pending additional information. Must specify what information/record are requested.
Notes	



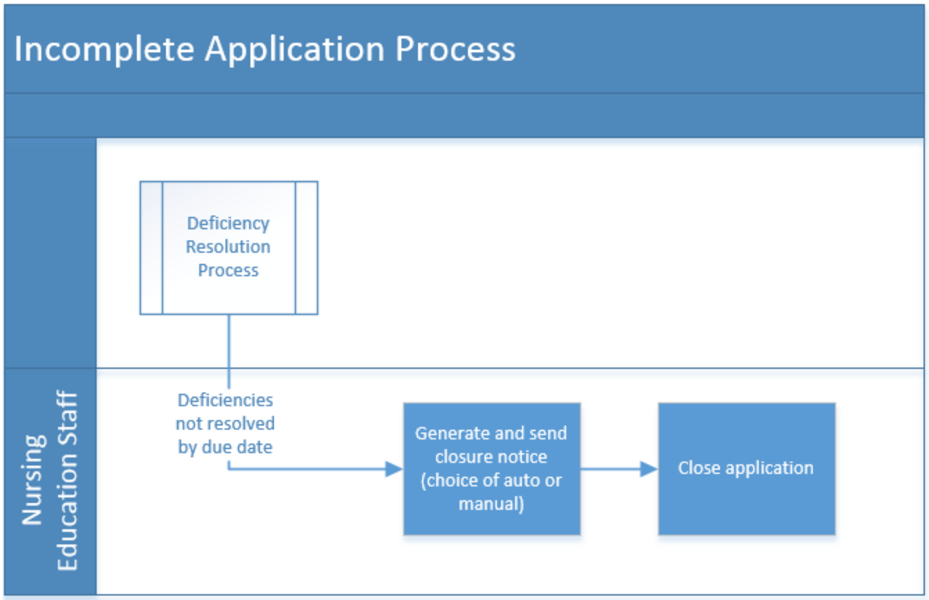
10.2.8 Process: Application Deficiency Resolution Process

Purpose	To resolve deficiencies with the application and/or the education program.
Owner	
Inputs	Deficiencies logged by reviewer.
Outputs	One of two possible outcomes: • Completed application (deficiencies resolved by applicant). • Due date for deficiency resolution passes - application is considered "incomplete" and is closed.
Notes	



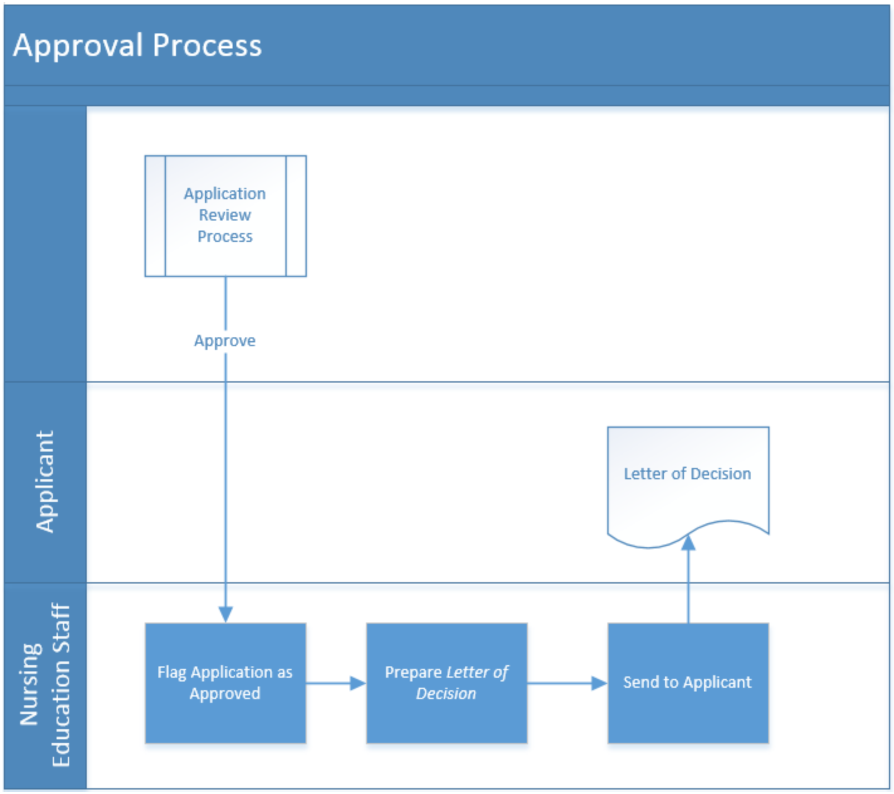
10.2.9 Process: Incomplete Application Process

Purpose	To close an application as "Incomplete" due to deficiencies not being resolved by deadline.
Owner	
Inputs	
Outputs	• Closure note sent to applicant. • Closed application.
Notes	



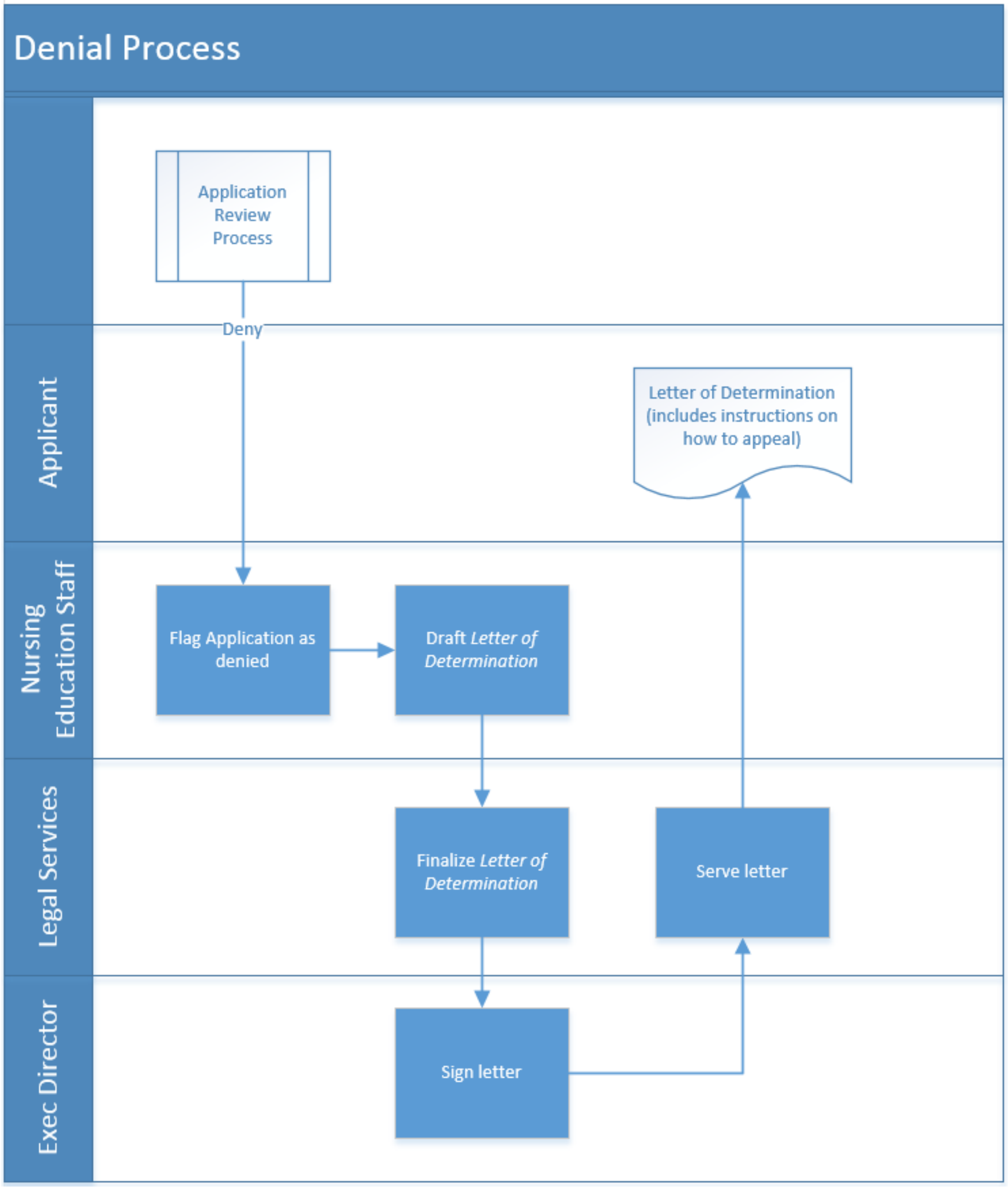
10.2.10 Process: Approval Process

Purpose	To approval an application
Owner	
Inputs	Approval decision made by the review panel.
Outputs	Letter of Decision notifying applicant that their application was approved.
Notes	



10.2.11 Process: Denial Process

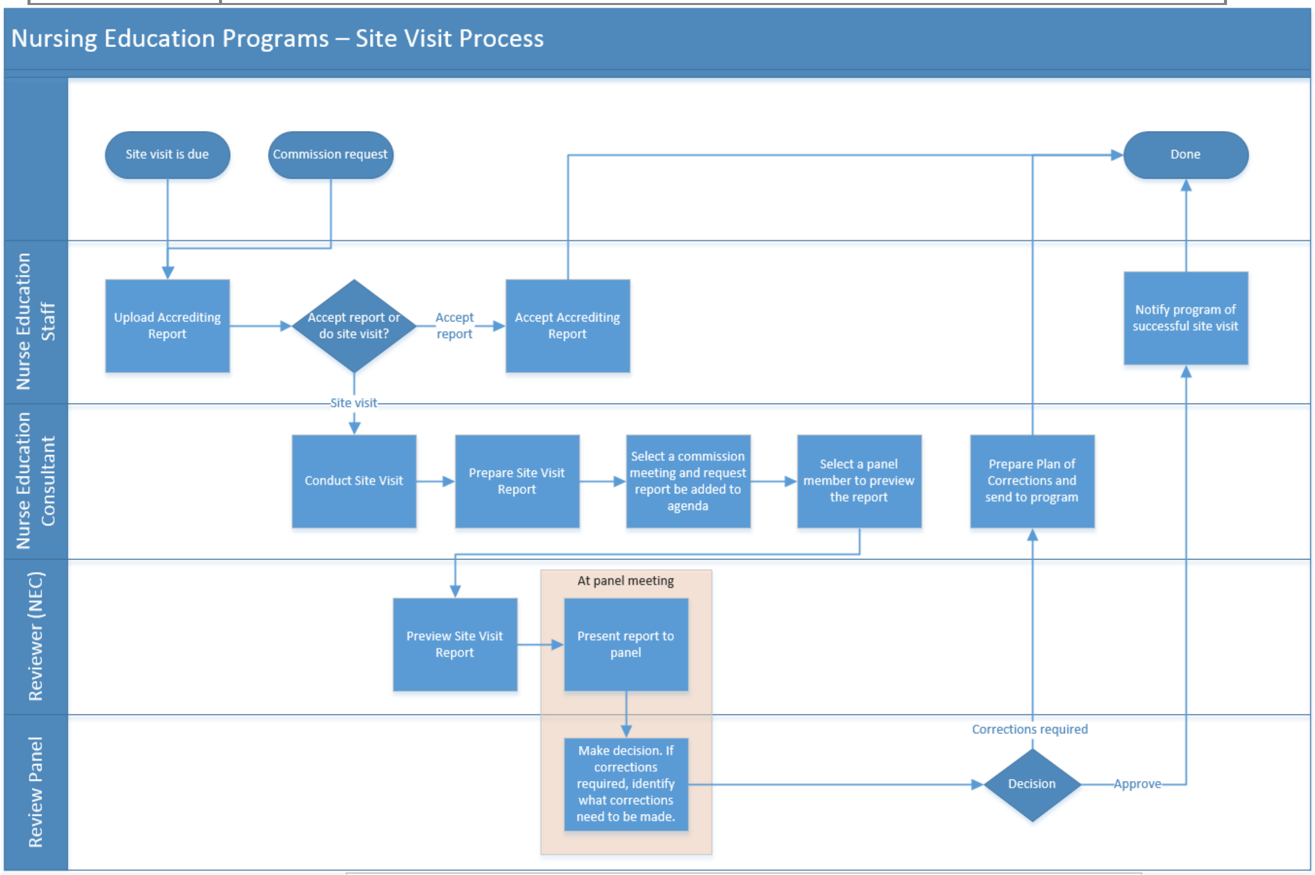
Purpose	To deny an application
Owner	
Inputs	Decision to deny from the review panel.
Outputs	Letter of Determination notifying applicant of the denial of their application.
Notes	



10.2.12 Process: Site Visit Process

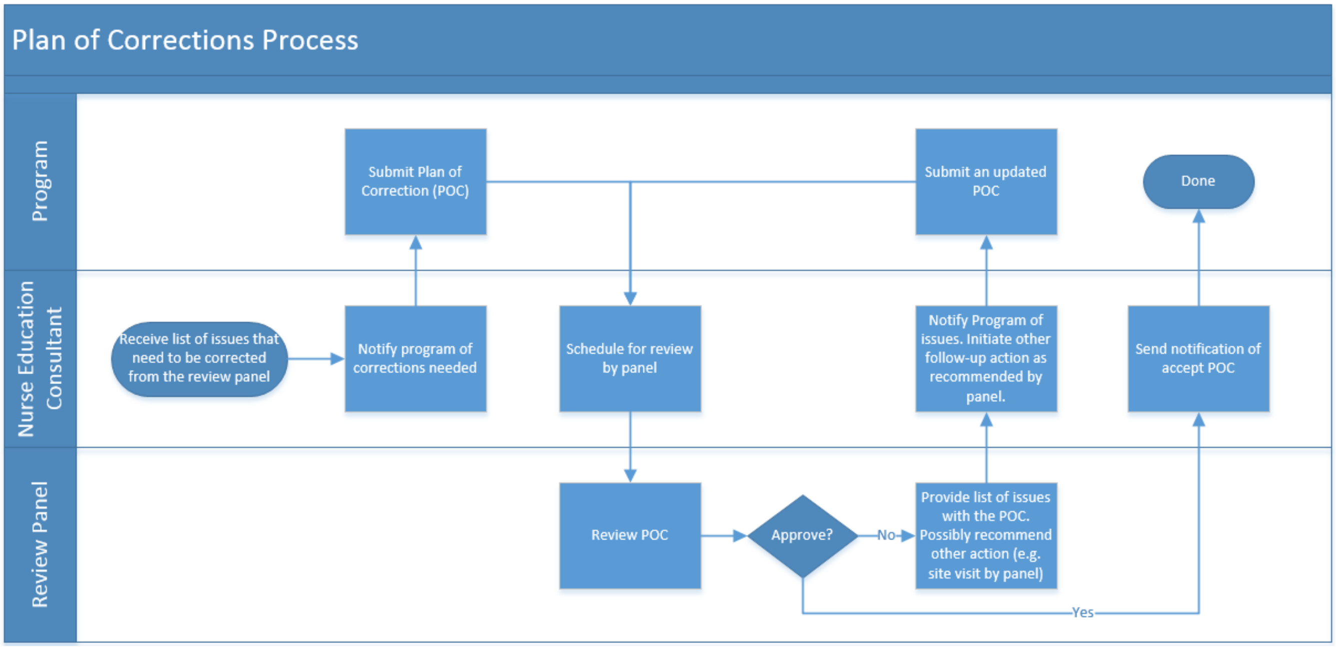
Purpose	To visit education programs and assess compliance with program requirements.
Owner	
Inputs	Request for site visit as a result of any of the following: • Application • Commission request • Renewal cycle
Outputs	• Site Visit Report • Plan of Corrections, if issues/deficiencies were found.

Notes	The site visit process for Nursing Education Programs is similar to the Facility Inspection process. Tools that support facility inspections may also be considered for Nursing Education Program site visits.



10.2.13 Process: Plan of Correction Process

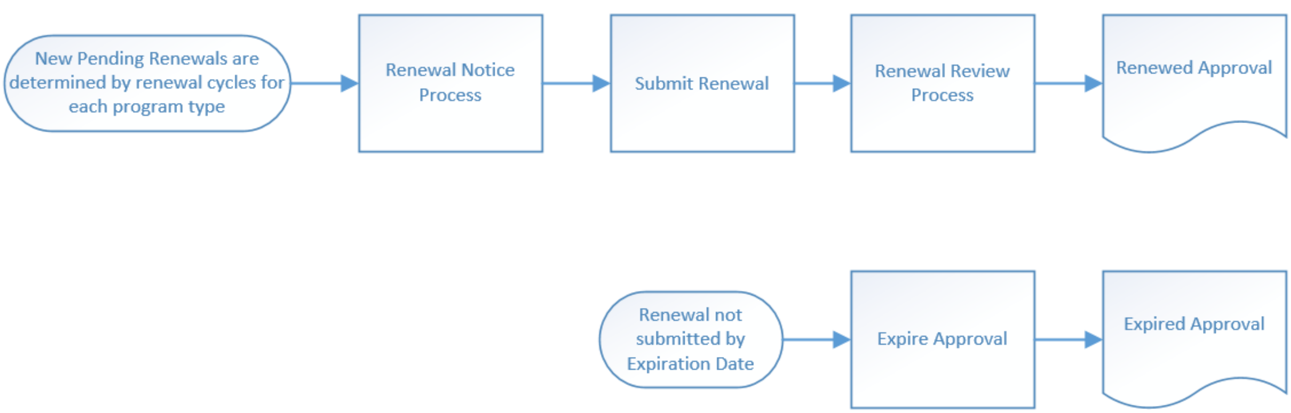
Purpose	To get an acceptable plan of correction from the program.
Owner	
Inputs	List of issues that need to be corrected provided by the commission panel.
Outputs	Plan of Correction from the program identifying a plan of correction for each issue.
Notes	



10.3 Renewal Process

10.3.1 Process: Renewal Process

Purpose	To facilitate and ensure proper and timely renewal of programs.
Owner	
Inputs	• List of programs that need to be notified of their pending renewal.
Outputs	• Renewal Notice sent to the program at the beginning of the *Renewal Period*. • Renewed Approval.
Notes	



10.4 Applicant and Program Contact Use Cases

10.4.1 Use Case: Start Application

Purpose	For education program to start an online application.

Description	• Applicant must already be a registered user (through Secure Access Washington). They would also be logged in.
	  ○ They may be a new applicant or a contact person for an established education/training program.
	  ○ Please note, any time a school or educational institution wants to start a new type of nursing education or nursing assistant training program, they must apply for the new program.
	• They would select the application they want to start (see list above). System should present options that are relevant to them. For example, if the applicant is not currently a contact person for established education/training program, they would not see the applications for staff or substantive changes, etc..
	• When an established program starts a new application, the system would populate the parts of the application that should be the same as the information on file. The applicant would be able to change the information, if needed.
	• They may save the application and return later to keep working on it.

User Roles	Applicant, Program Contact

10.4.2 Use Case: Update Application

Purpose	To update the various parts of an application.
Description	• Applicant would have an easy way to return to an application that they have started. • Update the various sections. • As information is being entered, the system would provide field-level validations where possible. Details TBD later.
User Roles	Applicant, Program Contact

10.4.3 Use Case: Submit Application

Purpose	To submit the application.

Description	• System performs a completeness and validation check, checking to make sure that all required information and attachments have been provided. Where possible the inputs are validated.
	• If any of the checks do not pass, the Applicant is given a list of the deficiencies and returns to Update Application.
	• If all checks pass, the system:
	    ○ Provides a confirmation with information about next steps.
	    ○ Queues the application for review and notifies the Nursing Education Program staff that are on the initial applications notifications list.

User Roles	Applicant, Program Contact

10.4.4 Use Case: View Status of Application

Purpose	For the Applicant to view the status of an application

Description	• After an application is submitted, the Applicant can easily:
	    ○ View the application they submitted
	    ○ View the status of their application, including:
	        ▪ When it was submitted and received by the Nursing Education Program.
	        ▪ If any deficiencies found, the current list of deficiencies.
	        ▪ After review is complete:
	            ▪ If denied, view the Letter of Determination describing the reason it was denied.
	            ▪ If approved, view the Letter of Decision.
	            ▪ If deferred, view what is requested by the commission.

User Roles	Applicant, Program Contact

10.4.5 Use Case: View Deficiency Letter

Purpose	To view a deficiency letter and be able to respond (see Respond to Deficiency use case).
Description	
User Roles	Applicant, Program Contact

10.4.6 Use Case: Respond to Deficiency

Purpose	Respond to deficiency identified in a deficiency letter with the requested records/information.
Description	
User Roles	Applicant, Program Contact

10.4.7 Use Case: Request Extension

Purpose	To request an extension to an upcoming deadline.
Description	• Request a change to an upcoming deadline for an application, program change, renewal, plan of correction or other action required of the program. • System creates the request and queues it for review Nursing Education Staff.
User Roles	Program Contact, Applicant

10.4.8 Use Case: Request Faculty Waiver

Purpose	To request a waiver on a required faculty member.
Description	
User Roles	Program Contact, Applicant

10.4.9 Use Case: Provide Plan of Corrections

Purpose	Provide a plan of corrections as required by the commission.
Description	• View list of issues that need to be corrected. • Respond to each issue with a plan of correction. • Submit. System queues it for panel review.
User Roles	Program Contact

10.4.10 Use Case: Submit Program Renewal

Purpose	To renew an approved education or training program.
Description	• User would have to confirm or change information about the program including approved staff members. • User would have to provide new information required for the renewal. Details depend on the type of program. TBD later.
User Roles	Education Program Contact

10.4.11 Use Case: View Pending Renewals

Purpose	For a program contact person to see their programs that are pending renewal.
Description	
User Roles	Program Contact

10.4.12 Use Case: Submit Staffing Change

Purpose	To notify and request approval of a change to an approved education/training program.
Description	
User Roles	Program Contact

10.4.13 Use Case: Request Substantive Change

Purpose	
Description	
User Roles	Program Contact

10.4.14 Use Case: Submit Innovation Application

Purpose	To request approval of an innovation on an education/training program
Description	
User Roles	Program Contact

10.4.15 Use Case: Submit Incident Report

Purpose	For education programs to report incidents that fall under mandatory reporting requirements.
Description	WAC 246-840-513 requires nursing education programs to report incidents involving a student or faculty member that may have resulted in patient harm, an unreasonable risk of patient harm, or diversion of legend drugs or controlled substances. Here is the current reporting form. When submitted, the system should notify Nursing Education Unit staff and queue for review and possibly follow up action.
User Roles	Program Contact

10.4.16 Use Case: Submit Annual Survey

Purpose	To submit annual survey required of nursing education programs.
Description	Details TBD.
User Roles	Program Contact

10.5 Education Unit Use Cases

10.5.1 Applications and Program Changes Use Cases

10.5.1.1 Use Case: View Applications In Progress

Purpose	To view and access applications that have been received and are in review.

Description	• Show summary information about each application (details TBD) • Show the stage of the review - Initial Review, Content Review, Panel Review, Approved or Denied • Be able to open and work on the application.
User Roles	All Nursing Education Roles

10.5.1.2 Use Case: View Requests

Purpose	View program changes and other requests.
Description	B
User Roles	All Nursing Education Roles

10.5.1.3 Use Case: View Application Details

Purpose	To view all aspects of an education program application.
Description	• View application and attachments. • View Education Program applications - these are applications for specific program staff such as instructors and program directors. • View Issues Log - issues identified by reviewers. • View other notes and information gathered about the proposed education program.
User Roles	All Nursing Education roles, including Nursing Education Staff, Panel Reviewers, Executive Director, etc.

10.5.1.4 Use Case: View Program Details

Purpose	View details about an education program
Description	Provides access to all information and records on an education program, including: • Type and status of program • Ownership and Parent institution • Application and status history • Site visits - history and planned • Basically all information, records and documents that have been provided by the program or discovered through investigation or research.
User Roles	All Nursing Education Roles

10.5.1.5 Use Case: Initial Review

Purpose	To perform an initial review.

Description	• Perform an initial review of the application.
	• Log issues (deficiencies) as they are found, if any.
	• When done:
	  ○ If no deficiencies, the system queues the application for Content Review.
	  ○ If deficiencies found, the system prompts the reviewer if they are ready to generate the Deficiency Letter.

User Roles	Nursing Education Staff

10.5.1.6 Use Case: Generate and Send the Deficiency Letter

Purpose	Generate and send the Deficiency Letter
Description	• When done reviewing, the initial or content reviewer can generates a Deficiency Letter from the deficiencies (or issues) log. • Send the letter. • System creates a "tickler" for the response deadline. When deadline passes, the system creates a task for the Nursing Education Staff to follow up (contact applicant or close application).
User Roles	Nursing Education Staff

10.5.1.7 Use Case: Update Application

Purpose	To update an application with additional documents/information received.
Description	Generally the applicant will use the online application process to provide additional documents/information. This tool is needed by staff in case a document or record is received by some other means. • Select an application from the Applications in Review list. • Update the application with new information received. • Attach a document to the application.
User Roles	Nursing Education Staff

10.5.1.8 Use Case: Content Review

Purpose	To perform content review.

Description	• From the list of applications ready for Content Review, the reviewer selects an application to review.
	• Perform content review of application.
	    o Log issues as they are found
	    o Remove issue from log. If an issue is resolved by an update or attachment, the reviewer can flag the issue as resolved. The system keeps track of which issues where included in which Deficiency Letter and what responses were received and when. So when

User Roles	Content Reviewer

10.5.1.9 Use Case: Add to Panel Meeting Agenda

Purpose	Add an application to a panel review meeting agenda.
Description	• Find and select a meeting from list of upcoming meetings. • System shows the agenda (so far) for the meeting. • User selects a meeting and the system adds the application to the agenda for that meeting. • **Please note**, panel meetings are scheduled in advance by other Nursing Case Management and other staff.
User Roles	Nursing Education Staff

10.5.1.10 Use Case: Assign Panel Reviewer

Purpose	To assign a panel reviewer to an application.
Description	The Panel Reviewer previews the application. When the panel meets, the Panel Reviewer present the education program (application) to the panel and any issues that have been identified.
User Roles	Nurse Education Consultant, Nurse Education Staff

10.5.1.11 Use Case: Enter Panel Decision on Application

Purpose	To enter the panel's decision on an application.

Description	• The panel discusses the application and make a decision. They have three options:
	  ○ Approve.
	  ○ Deny. They must provide a reason.
	  ○ Defer. This means the panel is not sure and wants more information. They must describe what additional information they want. It may be to require a site visit.
	• The decision can be entered by a panel member, Nursing Education Staff or the Nurse Education Consultant.
	• If the meeting shown for the panel review is not correct, it may be changed.
	• The meeting information includes who was present at the meeting and if any panel member recused themselves. The system can report which panel members were involved in the decision.

User Roles	Nursing Education Staff, Nurse Education Consultant

10.5.1.12 Use Case: Request More Information

Purpose	To request additional information from the applicant.
Description	• If the application was deferred pending additional information from the applicant, the request is entered by the user. • System notifies the applicant. • The applicant may go to their application online, view the request and submit additional information. See use case Submit Additional Information.
User Roles	Nurse Education Consultant

10.5.1.13 Use Case: Generate and Send the Letter of Decision

Purpose	Generate and Send the Letter of Decision letting the applicant know that their application has been approved.
Description	• Applications that have passed all reviews are shown on an Approved Applications list. • User selects to send letter - the system generates and sends the Letter of Decision.
User Roles	Nursing Education Staff

10.5.1.14 Use Case: Prepare Letter of Determination (denied applications)

Purpose	To prepare a Letter of Determination.

Description	• Enter the reasons for the denial (if not already entered by the reviewers). • System generates the letter from a template (configurable). • Staff Attorney may edit the resulting document.
User Roles	Nursing Education Assistant, Staff Attorney

10.5.1.15 Use Case: Submit Letter of Determination

Purpose	To submit a Letter of Determination to the Exec Director for signature.
Description	
User Roles	Staff Attorney

10.5.1.16 Use Case: Sign Letter of Determination

Purpose	For the Executive Director to sign the Letter of Determination (denial).
Description	• Executive Director is notified (or views the list) of letters requiring their signature. • Executive Director selects to sign the letter. System sends the signed letter to the applicant.
User Roles	Executive Director (or their delegates)

10.5.1.17 Use Case: Close Application

Purpose	To close an application when it is incomplete and the applicant does not remedy by the deadline.
Description	• View deficient applications where the deadline for a response has passed. • Select an application. • Select to close the application.
User Roles	Nursing Education Assistant

10.5.2 Site Visit Use Cases

10.5.2.1 Use Case: Request Site Visit

Purpose	To initiate a site visit.
Description	A site visit may be requested by the commission panel or required for a certain phase of an application.
User Roles	Nurse Education Consultant, Nurse Education Staff

10.5.2.2 Use Case: Prepare Site Visit Report

Purpose	To report on the issues found during a site visit.
Description	• Create list of issues/deficiencies. • System supports process by providing a configurable list of issues to select from. • User can add items that are not on the list. • Submit for review. User can select a reviewer. The review can make comments or suggest changes. • After the review. The user can add the report to the agenda for a scheduled panel meeting (see relevant use cases).
User Roles	Nurse Education Consultant

10.5.2.3 Use Case: Require Plan of Correction

Purpose	To require a Plan of Correction from the program.
Description	Only after a Site Visit Report is reviewed by the panel: • Enter issues that need to be corrected (as required by the panel). • System generates a notice and sends to program.
User Roles	Nurse Education Consultant

10.5.3 Renewal Use Cases

10.5.3.1 Use Case: Identify New Pending Renewals

Purpose	Identify new Pending Renewals
Description	The system creates *Pending Renewal* records for each education program entering its *Renewal Period*. Renewal cycles vary by program type.
User Roles	System

10.5.3.2 Use Case: View Pending Renewals

Purpose	To view credentials that are Pending Renewal.

Description	• Shows and provides access to all pending renewals.
	• Separate lists for:
	  ○ Needing Renewal Notice.
	  ○ Waiting response from Credential Holder.
	  ○ In review.
	  ○ Past due.

User Roles	Nursing Education Staff

10.5.3.3 Use Case: Send Renewal Notice Electronically

Purpose	To send Renewal Notice electronically to credential holders.
Description	• System sends the renewal notice electronically to credential holders that can receive them. • Renewal Staff are notified of any issues in the process. Generally, only if an email address is incorrect. The Renewal Staff would contact the Credential Holder and get a correct email address and make the change to the Contact record.
User Roles	System

10.5.3.4 Use Case: Review Renewal

Purpose	To review a renewal and make sure all requirements have been met before renewing the credential.
Description	• User reviews the received renewal, the system facilitates the review with a checklist. • The checklist must be configurable. • The reviewer checks to make sure each renewal requirement has been met and logs a deficiency when not met. • If no deficiencies found, the reviewer may approve the renewal (see next use case). • If deficiencies found, the system kicks off the Deficiency Resolution process.
User Roles	Nursing Education Staff

10.5.3.5 Use Case: View Renewals with Deficiencies

Purpose	To see the renewals with deficiencies and their deficiency resolution status.
Description	
User Roles	Nursing Education Staff

10.5.3.6 Use Case: Send Deficiency Letter

Purpose	Send Deficiency Letter electronically.
Description	• System uses the *Renewal Deficiency Letter* template for the credential type. • System sends Deficiency Letter electronically to the program.
User Roles	Nursing Education Staff

10.5.3.7 Use Case: Approve Renewal

Purpose	To approve the renewal and update the expiration date of the education program.

Description	• When the review is done, if no deficiencies found, the reviewer approves the renewal. • System approves the renewal and updates the Effective Date, Expiration Date.
User Roles	Renewal Staff

10.5.3.8 Use Case: Edit Renewal Dates

Purpose	Edit renewal dates.
Description	• Manually update the renewal effective date, expiration date and CE due date.
User Roles	Nursing Education Staff

10.5.3.9 Use Case: Expire Approval

Purpose	To expire a program's approval if it were not renewed by dead line.
Description	• This is a system process that runs each day. It identifies Pending Renewals that were not renewed by their Expiration Date. The Expiration Date may have been extended to give the program an additional chance to renew.
User Roles	System

10.5.4 Other Requests

10.5.4.1 Use Case: Review Extension Request

Purpose	To approve or deny an extension request from the program.
Description	• Request comes from the program and can be related to an application, plan of corrections, or other required action. • User can route it to the director or other staff, if needed.
User Roles	Nurse Education Staff

10.5.4.2 Use Case: Review Faculty Waiver Request

Purpose	
Description	Approve or deny a Faculty Waiver Request from program.
User Roles	Nurse Education Consultant

11 Education – Chiropractors

The oversight of Chiropractor Education and Training programs follows the same basic processes as Nursing Education. The requirements are also the same.

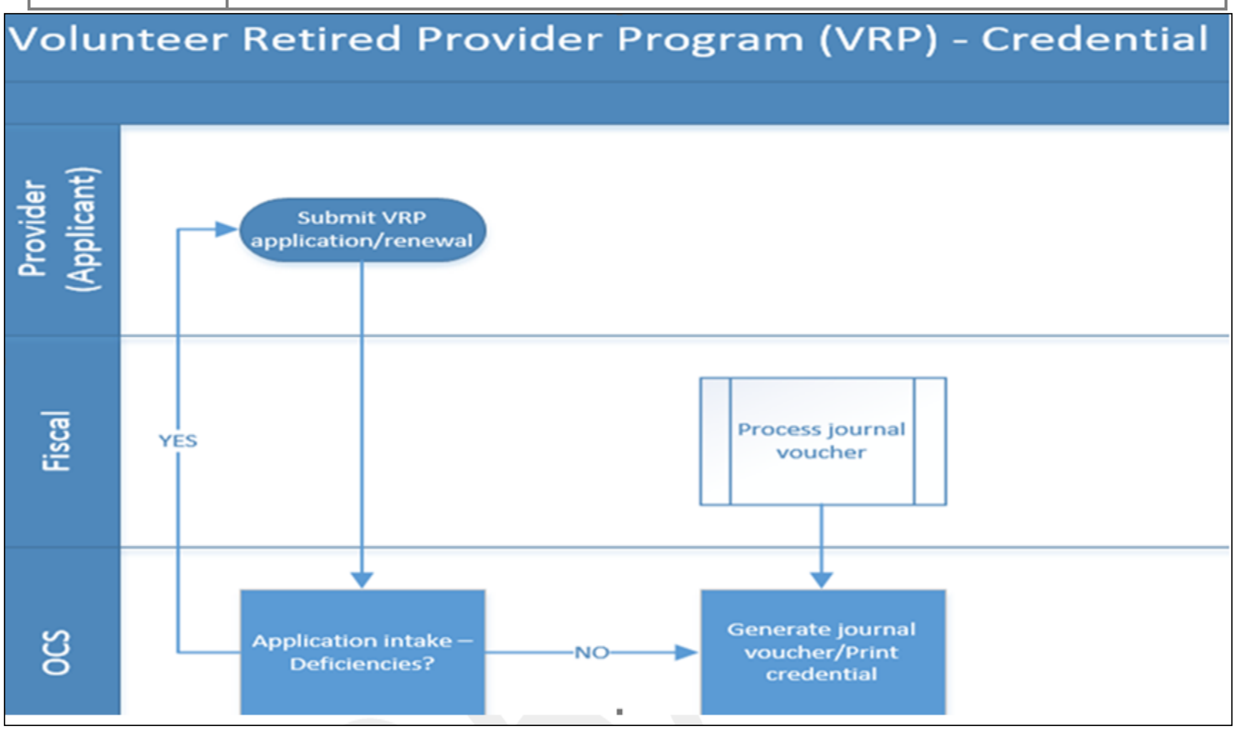
12 Volunteer Retired Provider Program (VRP) - Malpractice Insurance Coverage.

To approve eligible medical providers for malpractice insurance cost coverage

12.1 Volunteer Retired Provider

12.1.1 Process: Volunteer Retired Provider Program (VRP) - Malpractice Insurance Coverage

Purpose	To approve eligible medical providers for malpractice insurance cost coverage.
Owner	Contactor/OCHS
Inputs	Application
Outputs	Certificate of coverage.
Notes	This the process for eligible medical providers to apply for malpractice insurance coverage and be certified as a volunteer provider. The provider must also be working at an approved facility.



12.2 Volunteer Retired Provider

12.2.1 Use Case: Submit Application

Purpose	To allow an application to be submitted online or by mail to the DOH.
Description	System must: • Allow user to complete and submit application online. • Allow user to complete and print application. • Check the application for completeness. • Allow user to upload additional documents and index them to the related application. • Not allow user edit access once application has been submitted. • Notify Contractor User that an application has been submitted.
User Roles	Applicant

12.2.2 Use Case: Intake and Review/Approve Application

Purpose	To allow Contractor to receive and review the application
Description	System must: • Notify contractor when an application has been submitted. • Check for current VRP accreditation status. • Provide a checklist of requirements. Results determine application status. • Accommodate scanning and indexing of documentation received during review, associating the documentation with the application within the system • Validate address against address of record. • Check for all Enforcements • Allow Contactor user to notify OCHS supervisor of "Open Enforcement" needing determination. • Require OCHS supervisor approval if any enforcements have been sent for supervisory review. • Process insurance coverage and send coverage notification to the Provider when all initial requirements are met and no open enforcements exist OR all initial requirements have been met and enforcements referred for supervisory review have been approved by OCHS supervisor. • Notify Contractor user 60 /30/0 days prior to VRP license expiration. • Allow Contractor user to deny application, requiring user free form text for explanation. • Bulk mail provider surveys on dates specified by the user. • Allow contractor user to deny applications.
User Roles	Contractor

12.2.3 Use Case: Approve "Open" Enforcement

Purpose	Supervisory approval is required for any Open Enforcement referred for review

Description	System must: • Notify supervisor that Open Enforcement Review is pending determination. • Allow the user an approve/deny option for each enforcement referred for review. • Notify the Contractor user that a referred open enforcement has been denied. • Notify the Contractor user if every referred enforcement has been approved.
User Roles	OCHS Supervisor

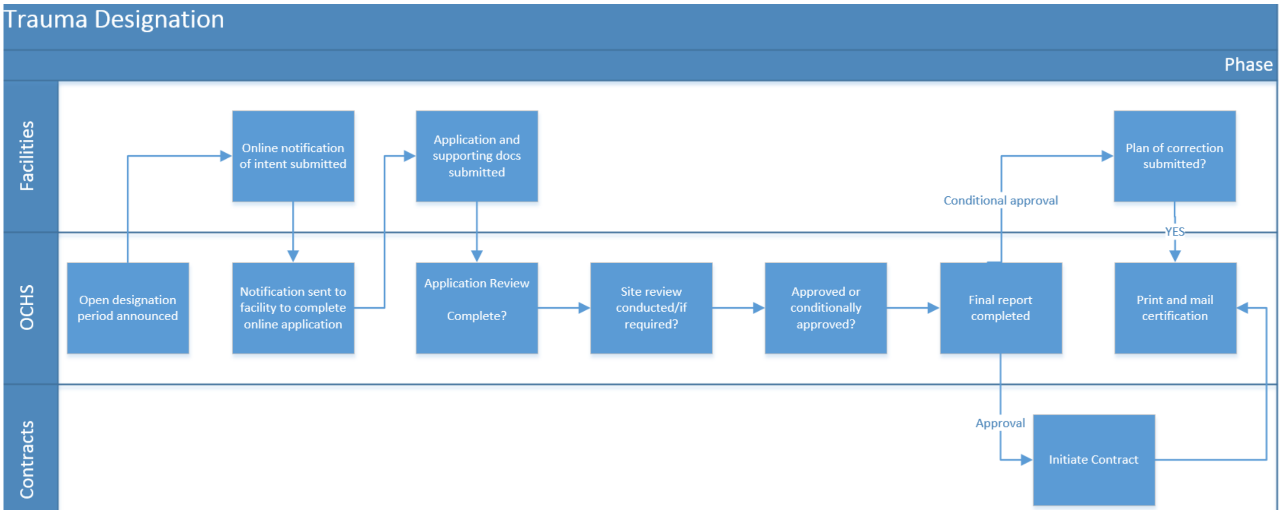
13 Trauma Service Designation

This is the process for establishing a trauma service designation for eligible health care facilities.

13.1 Trauma Services Designation

13.1.1 Process: Trauma Service Designation

Purpose	To establish a trauma designation for eligible health care facilities
Owner	Office of Community Health Systems (OCHS) - Trauma Team
Inputs	• Facility intent to apply • Designation Application
Outputs	If approved: • Trauma Service Designation Credential • Trauma Service Contract If denied: • Letter of denial
Notes	The department designates five levels of acute care trauma services, three levels of pediatric acute care trauma services and three levels of trauma rehabilitation services. Every three years, hospitals may apply and compete for a trauma service designation. Trauma designation are numerical 1-5.



13.2 Trauma Services Designation

13.2.1 Use Case: Notification of Open Enrollment

Purpose	To notify facilities that their enrollment period is open for those who want to apply for trauma designation
Description	The system must: • Assign medical facilities into a region based on location. • Track a specific designation period for each region (these are spread over a three year time span called the designation period). • Notify medical facilities when their designation period is open (by region).
User Roles	OCHS Trauma Unit

13.2.2 Use Case: Submit Letter of Intent

Purpose	Allow facilities to notify the DOH for their intent to apply for trauma designation
Description	System must: • Allow facilities to submit letter of intent (LOI) online. • Allow facilities to complete an LOI and/or designation application ONLY during their designation period • Notify OCHS when a letter of intent has been received.
User Roles	Facilities

13.2.3 Use Case: Submit an Application

Purpose	Allow user to submit an application for review for a trauma designation.

Description	System must: • Allow user to complete an application online • Provide an application format based on designation being applied for • Provide adequate security regarding sensitive medical information. • Calculate fee based on designation applied for. • Require payment be made at the time application is submitted. • Will not accept application without payment in full being submitted. • Route payment information to fiscal. • Notify OCHS when an application has been submitted. • Track the application process based on designation being applied for (Site visit required for designation 1-3) • Track a 90 day application period. • Allow extensions to the 90 day application period on an individual basis • Allow facilities to upload (attach) supporting documentation to the application
User Roles	Facilities

13.2.4 Use Case: Conduct Site Visit

Purpose	Review facility requirements for proposed designation
Description	System must: • Allow Users with mobile devices to interface with HELMS to allow access to case record information as well as direct input of information. • Create profiles for site visit team members including state vendor ID number (teams and individuals) • Generate A-19 for team member payment, autocompleting all the required information. • Allow user to print A-19 A-19s submitted for payment will follow the established payment process by fiscal.
User Roles	OCHS Trauma Team Contracted Review Staff

13.2.5 Use Case: Submit Plan of Correction

Purpose	Allow facilities to submit a plan for rectifying previously identified shortfalls.

Description	System must: • Require a Plan of Correction be completed by the facilities issued a Conditional Approval. • Provide user with a template for completion. • Track the time frame the plan of correction must be completed. • Track any conditional approval for receipt of the "Plan of Correction" • Notify OCHS staff that a plan of correction has been submitted. • Allow ad hoc reporting on the Plan of Correction (more details to come)
User Roles	Facilities

13.2.6 Use Case: Complete Final Report

Purpose	To allow user to complete and send a final report regarding the designation determination
Description	System must: • Allow OCHS users to complete a final report online. • Format final reports based on the designation applied for • Allow user to enter text in various area of the report as well as having access to prefill WAC citations • Allow approvals and conditional approvals. • Send notification to OCS to authorize Designation Certificate to facility for both approvals and conditional approvals. • Notify contracts that a facility has been approved, (approvals and conditional approvals) sending all the details to complete the contract process.
User Roles	OCHS Trauma Team

13.2.7 Use Case: Send Final Report

Purpose	To allow OCHS Trauma Team to send the Trauma Designation final report to the facility
Description	System must: • Send the completed final report to the facility, applying the appropriate security for transmission. • Track any conditional approval for receipt of the "Plan of Correction" • Track start and end dates of the contract period • Notify the associated user when end dates are approaching.
User Roles	Facilities

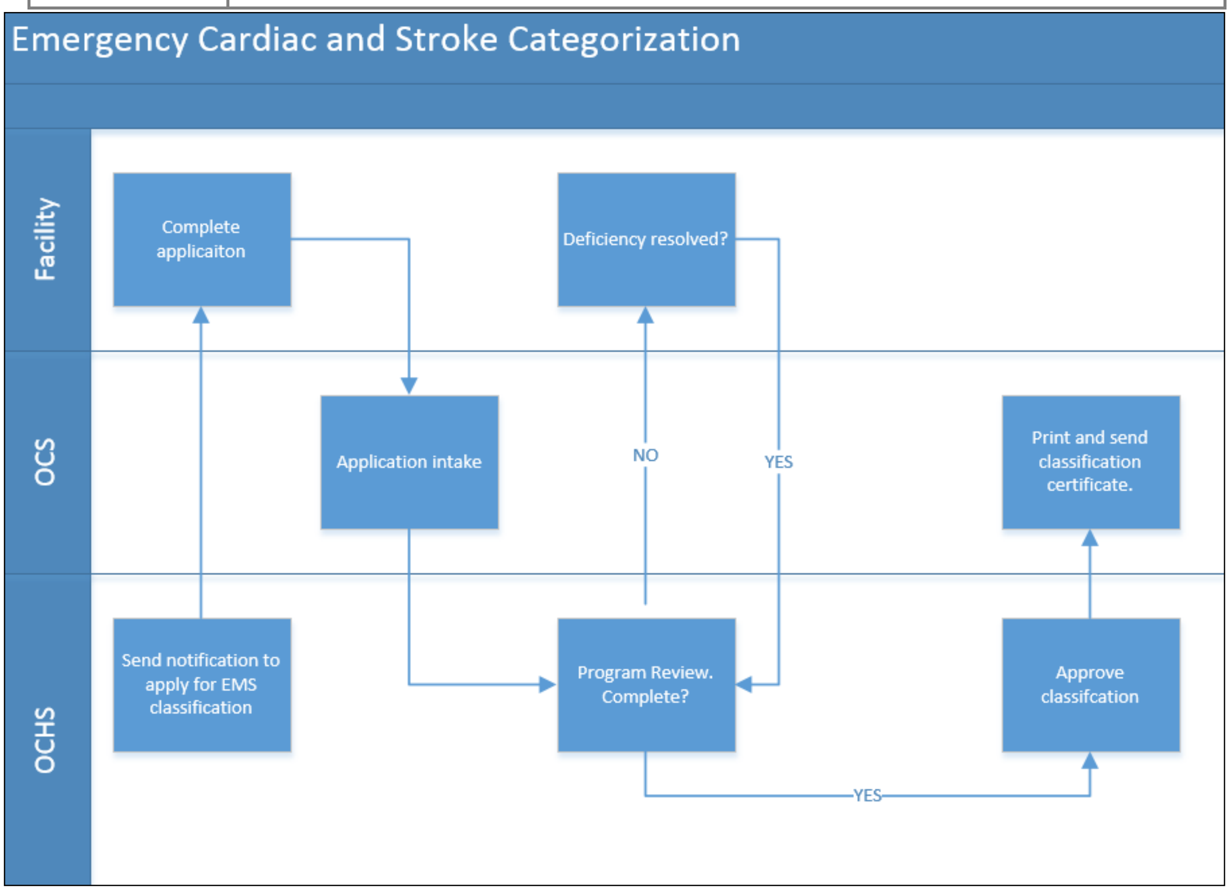
14 Emergency Cardiac and Stroke Categorization

Emergency Cardiac and Stroke Categorization is a facility credential review and approval process certifying health care facilities to accept cardiac and stroke patients.

14.1 Emergency Cardiac and Stroke Categorization

14.1.1 Process: Emergency Cardiac and Stroke Categorization

Purpose	Emergency Cardiac and Stroke Categorization is a facility credential review and approval process certifying health care facilities to accept cardiac and stroke patients.
Owner	OCHS
Inputs	Application
Outputs	Classification Certificate
Notes	Emergency Cardiac and Stroke Classification categorizes a facility credential review and approval process certifying health care facilities to accept cardiac and stroke patients.



14.2 Emergency Cardiac and Stroke Categorization

14.2.1 Use Case: Send Notification to Apply for Categorization

Purpose	For OCHS staff to send notification to facilities that the period for them to apply for the classification is now open.
Description	System must: • Alert user when it is time to send notification to facilities. • Allow user to send notification to the appropriate facilities (3 different groups over a 1 1/2 yr. period) • Determine mailing groups by EMS Regions. • Allow notifications to be bulk mailed • Alerts OCS staff that the notification has been mailed.
User Roles	OCHS

14.2.2 Use Case: Complete Application

Purpose	To allow facilities to complete an application online
Description	System must: • Allow users to complete an application online. • Provide the user the appropriate application for the classification for which they are applying (5 different types). • Not allow the user to submit an incomplete application. • Allow the user to upload additional information. • Notify OCS staff that an application has been submitted. • Not allow user edit access to the application after it has been submitted.
User Roles	

14.2.3 Use Case: Intake Application - Administrative Review

Purpose	To intake application and review for administrative deficiencies
Description	System must: • Notify OCSs staff that an application has been received. • Index and collate all application information • Allow user to send application packet to OCHS Program Review. • Allow user to send free form notification, indexed to the corresponding application packet. • Notify OCHS staff that an application has been sent for review. • Allow user to input applications.
User Roles	OCS

14.2.4 Use Case: Review Application - Program Review

Purpose	To allow OCHS staff to review the application to program guidelines

Description	System must: • Alert OCHS staff that an application is ready for program review. • Allow user to utilize a checklist type environment for noting deficiencies to program requirements. • Allow user to send notification to the facility outlining program deficiencies. • Prefill notice from results of checklist allowing user to edit as necessary. • Allow user to add free form text to the notice • Allow user to set due date for receipt of the information. • Track the due date of information requested, and alert user when due. • Keep a history of correspondence sent and received.
User Roles	OCHS

14.2.5 Use Case: Approve Application

Purpose	To allow user to disposition application and notify the appropriate parties.
Description	System must: • Allow user to approve classification. • Allow regular approvals and provisional approvals. • Auto set classification start and end dates. • Allow user to adjust the start and end dates as needed. • Send notification to OCS that classification has been approved, noting classification type, date, classification categorization period, etc. • Send notification to the facility that the categorization has been approved, auto filling classification type and classification dates. • Allow for denials of applications. • Send denial notification to the facility allowing user free form text.
User Roles	OCHS

14.2.6 Use Case: Send Categorization Certificate

Purpose	To send classification certification to the facility.
Description	System must: • Alert OCS staff that a categorization has been approved. • Allow user to print certification, auto filling the appropriate details (type, classification period, etc.)
User Roles	OCS

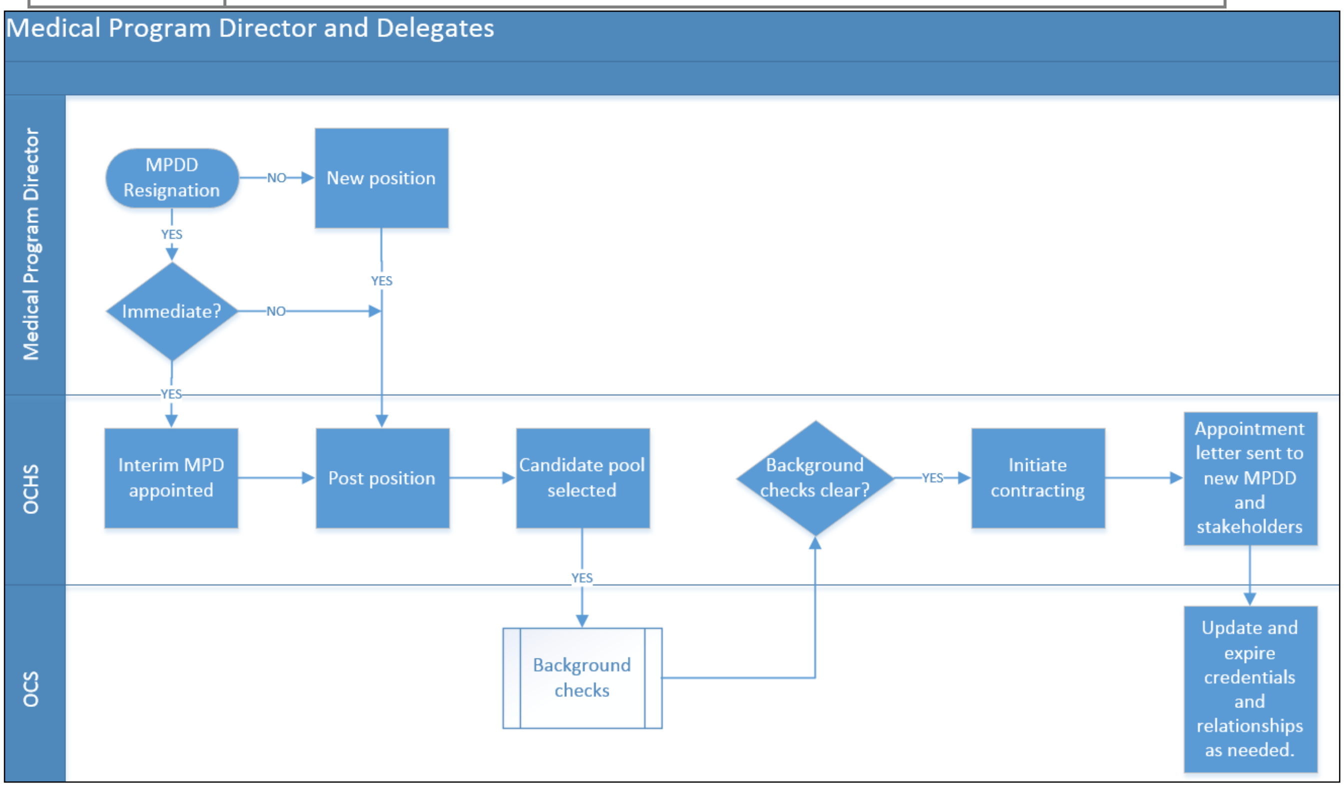
15 Medical Program Director

This process certifies and tracks MPD's appropriate associations for supervision/authority.

15.1 Medical Program Director

15.1.1 Process: Medical Program Director and Delegates (MPD&MPDD)

Purpose	This process certifies and tracks MPD's appropriate associations for supervision/authority
Owner	OCHS
Inputs	Employment Application
Outputs	• MPD certification and notification • Update to systems relationships and permissions to new MPD • Expire previous relationship for exiting MPD is applicable. • Notifications to advisory parties
Notes	This process certifies and tracks MPD's appropriate associations for supervision/authority



15.2 Medical Program Director

15.2.1 Use Case: Appoint Interim MPD

Purpose	To fill an immediate need for an MPD when adequate notice has not been given to fill position before it is vacated.

Description	System must: • Only allow one MPD to be assigned to a particular area. • Allow appropriate permissions for interim MPD. • Disassociate previous permissions and relationships for exiting MPD • Remove any authority permissions from exiting MPD. • Notify interim MPD and stakeholders of the change
User Roles	OCHS

15.2.2 Use Case: Post Position

Purpose	To advertise current vacancies for an MPD in a particular area
Description	System must: • Allow user to notify local and Regional councils to post for a vacant position. • Monitor the posting period.
User Roles	OCHS

15.2.3 Use Case: Select Candidate Pool

Purpose	To narrow candidate pool down to those who will be considered for the position
Description	System must: • Notify OCS that candidate pool has been selected • Provide OCS access to the information required to perform background checks. • System must notify OCHS when background checks have been completed and the results.
User Roles	OCHS OCS

15.2.4 Use Case: Initiate Contracting for New MPD

Purpose	Finalizes the appointment sending appropriate notice to interested parties
Description	System must: • Notify "Contracts" of the successful candidate providing the relevant information to initiate the contract process.
User Roles	OCHS

15.2.5 Use Case: Perform Background Checks

Purpose	To perform background checks on the individuals selected for the candidate pool

Description	System must: • Support/perform current background check process. • Notify OCHS of background check results. • Allow user to scan and upload background check results, indexing to the associated applicant.
User Roles	OCS

15.2.6 Use Case: Update Credentials and Relationships

Purpose	To update credentials and relationships to reflect both the incoming and outgoing director and delegates.
Description	System must: • Update system "relationships" to the new MPD. • Disassociate system relationships from parting MPD and associated credential holders. • Remove any authority permissions from exiting MPD.
User Roles	OCS

15.2.7 Use Case: Send Notifications

Purpose	To notify the new MPD and stakeholders of the new appointment
Description	System must: • Mail notification to the successful candidate. • Mail denial notifications to the unsuccessful candidates. • Mail notifications to associated stakeholders. • Alert OCS to update and expire credentials and relationships as needed.
User Roles	OCHS

16 Trauma Care Funding

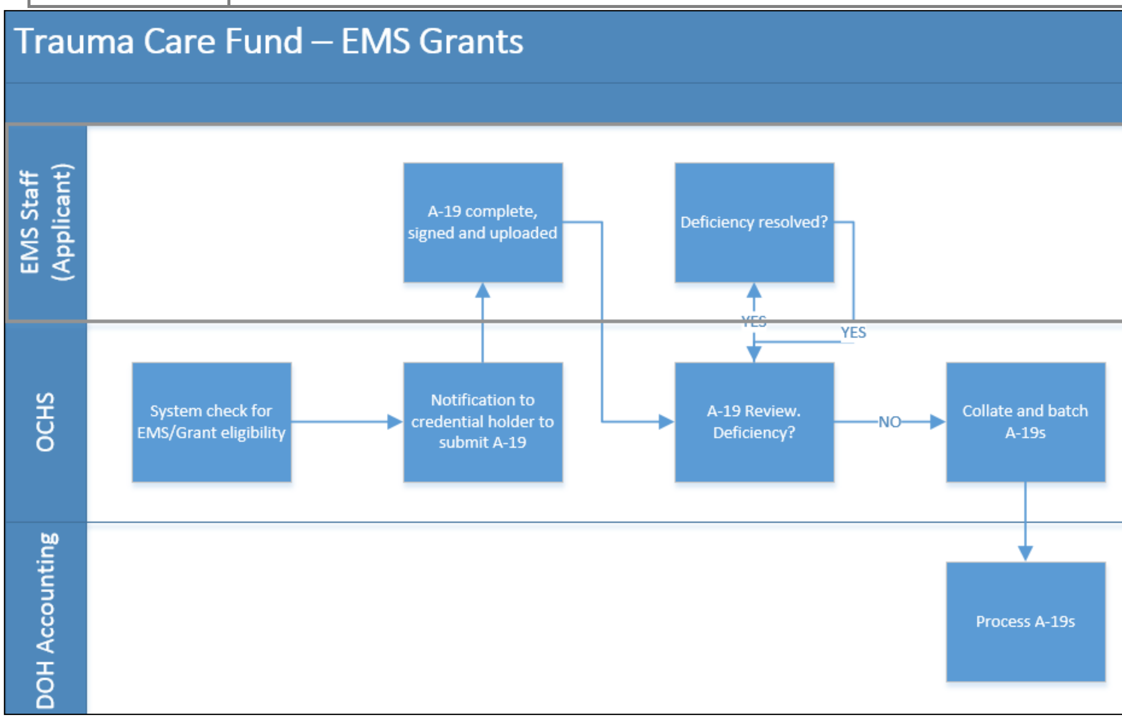
This package contains the trauma care funding process for both EMS providers and hospitals.

16.1 Trauma Care Funding - EMS

16.1.1 Process: Trauma Care Fund - EMS Grants

Purpose	To approve verified EMS Credential Holders, who apply, to receive Trauma Care funds to assist with overall operating expenses.
Owner	Office of Community Health Systems (OCHS)

Inputs	Staff: EMS Staff (Applicant) Input: A-19
Outputs	Staff: EMS Staff (Applicant) Output: A-19 EMS funds
Notes	



16.2 Trauma Care Fund - EMS

16.2.1 Use Case: Check for Grant Eligibility

Purpose	To determine what facility is eligible for EMS funds
Description	The system must: • Record the state vendor ID for trauma verified EMS credential holders as an optional field. • Approve current trauma verified EMS credential holders as eligible for funds.
User Roles	OCHS

16.2.2 Use Case: Send Notification to Credential Holders to Submit an A-19

Purpose	To initiate the payment of funds process
Description	System must: • Generate a notification to the credential holder that the A-19 is available for completion. • Make accessible a completed A-19 to the credential holder on line. • Auto complete the A-19 with the relevant information related to the credential holder. (name, address, vendor #, etc.) • Allow user to print the A-19, also saving a copy to history. • Allow user to access previously saved A-19s and reprint.
User Roles	OCHS

16.2.3 Use Case: Complete the A-19

Purpose	To allow the facilities to complete the A-19 online
Description	The system must: • Allow the credential holder to complete the A-19 online. • Allow the user to download/print A-19 • Allow the user to upload the A-19. • Allow the user to electronically send/notify associated OCHS staff that the A-19 has been completed and returned. • Not allow the EMS staff edit access to the A-19 after it has been submitted.
User Roles	EMS Staff

16.2.4 Use Case: Review of A-19

Purpose	To allow OCHS to review the A-19 form accuracy before being submitted for payment

Description	System must: • Allow OCHS staff to review Submitted A-19s. • Differentiate complete A-19s, incomplete A-19s and A-19s where the EMS staff do not have a valid credential. • Allow A-19s to be returned to the EMS staff for deficiency resolution. • Notify EMS staff that an A-19 has been returned for deficiency resolution. • Allow user edit access to A-19 that has been returned due to a deficiency. • Provide a report of Trauma Verified EMS providers who have not submitted an A-19. • Provide a report, queue and hold A-19s for providers with expired credentials.
User Roles	OCHS

16.2.5 Use Case: Resolve Deficiency

Purpose	To Allow EMS staff to resolve outstanding issues with the A-19
Description	The system must: • Allow the user edit access the A-19 that was previously completed and return it to resolve any issues. • Allow the user to upload the completed A-19 and resubmit. • Allow the user to submit/upload supporting documentation.
User Roles	EMS Staff

16.2.6 Use Case: Collate and Batch A-19s

Purpose	Too allow A-19s to be submitted in bulk for processing
Description	System must: • Allow bulk printing of submitted A-19s. • Allow user to select the A-19s they want to pay/print. • Prepare batch header • Not allow a previously paid A-19 to be included in another payment batch.
User Roles	OCHS

16.2.7 Use Case: Process A-19s

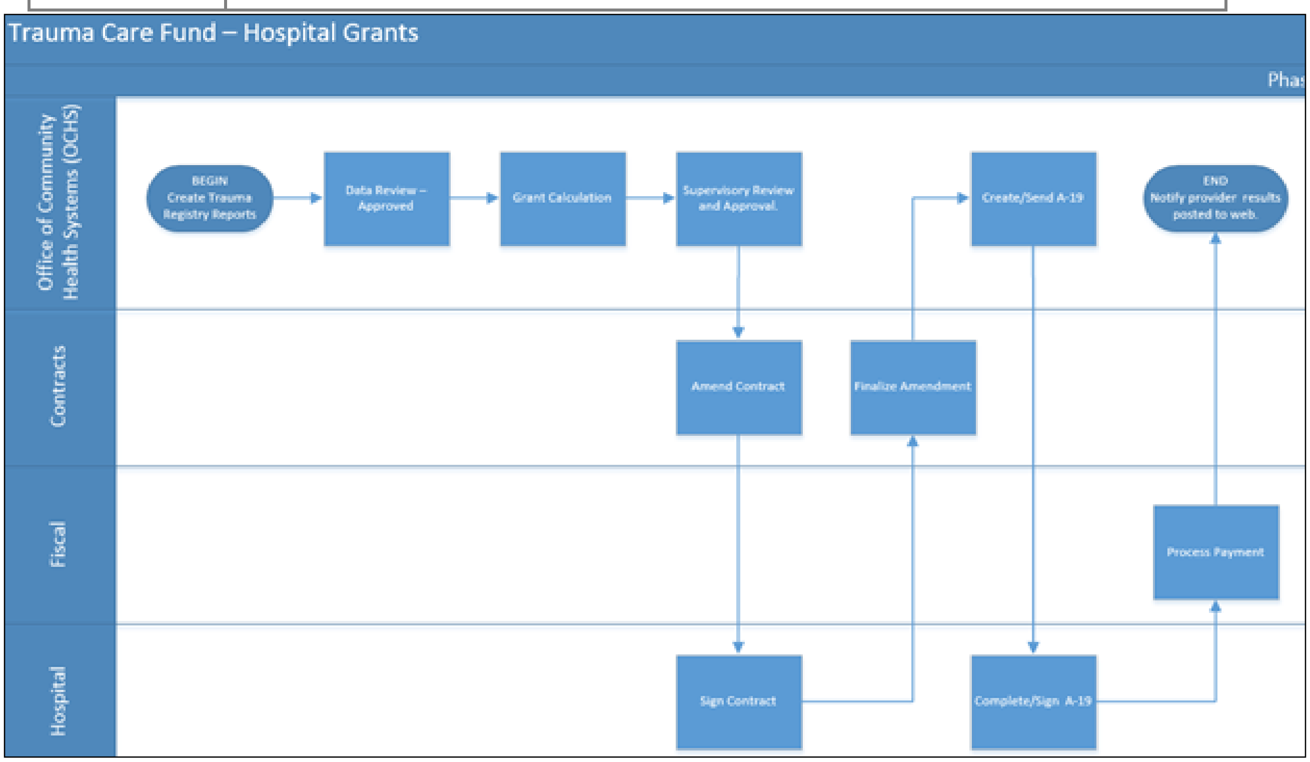
Purpose	To keep a record of A-19s once processed

Description	System must: • Record the date the payment was processed and payment amount, deposit details or an image of the check if applicable. • Allow specified users to view this information
User Roles	OCHS

16.3 Trauma Care Fund - Hospitals

16.3.1 Process: Trauma Care Fund - Hospital Grants

Purpose	To provide funding for facilities who have a trauma designation based on need.
Owner	Office of Community Health Systems
Inputs	• Data Request
Outputs	• Contact Amendment • A-19 • Grant Payment
Notes	Funding is provided each year to all designated trauma services for both general and pediatric designations. The grant is to help offset the costs of participating in the trauma system.



16.4 Trauma Care Fund - Hospitals

16.4.1 Use Case: Create Reports

Purpose	To extract the data used in the calculation of the trauma grants.
Description	The system must: • Notify the user that trauma grants are due to be recalculated. (Annually) • Allow user to request Trauma Data extract at any time. • Give the user options to extract data per facility, or combinations of facilities and the time frame. (Quarterly or Annually) • Compile the data extract from the Trauma Registry, information provided for the charity care program and OFM (city population) data. • Compile the data in a designated format.
User Roles	OCHS Program User

16.4.2 Use Case: Review Data

Purpose	To ensure data is correct before authorizing the grant calculations.
Description	The system must: • Allow the user to review the data extract online. • Allow user to format report online. • Allow user to edit data and save report. • Allow user to disposition (approve) the data as a whole (all facilities) • Once approved, calculate grants based on predetermined calculation (See trauma care grant calculation attached). • Not allow user to edit data once approved UNLESS it is returned by the supervisor for correction. • Save each approved report and grant calculation in chronological order. • Send notification to supervisor once approved. • Allow printing of the report.
User Roles	OCHS

16.4.3 Grant Calculations

How trauma grants are calculated

16.4.4 Trauma Grant Calculations

Trauma Care Grant Calculations

Undercompensated Care Grants – Levels I and II

We disburse these grants each year to Level I and II designated trauma services. The grants subsidize undercompensated trauma care costs. We base the grant on a hospital's proportionate share of undercompensated trauma care. We use figures for bad debt, charity care and total patient revenue to calculate this grant. This information is taken from the most recent, complete calendar year of hospital patient data. The sum of the Injury Severity Scores (ISS) is extracted from our Trauma Registry for the same period. This includes cases that meet both the trauma registry inclusion criteria and one of the following criteria:

- Adult trauma patients with an ISS of 13 or greater.
- Pediatric trauma patients, under 15 years of age, with an Injury Severity Score of nine or greater.
- All trauma patients received in transfer regardless of Injury Severity Score.

Figure 1 shows how this grant is calculated:

Sum of ISS x bad debt + charity care = N1

Total patient revenue
Sum of all trauma services N1s = NT
((N1 / NT) x total available for grant) = trauma service grant amount

Figure 1 - Levels I – II Trauma Care Grant Calculation

Undercompensated Care Grants – Levels III, IV, and V
We disburse these grants each year to Level III-V designated trauma services. The grants subsidize undercompensated trauma care costs. We base the grant calculation on designation level and trauma patient volume. The level bases are: $10,000 for Level III, $5,000 for Level IV and $2,500 for Level V. Volume data includes trauma patients who meet the trauma registry inclusion criteria and report either "Medicaid," "self-pay," "charity care," or "none" as a primary payer.

Figure 2 shows how this grant is calculated:

((Bad payer admits x multiplier) + Bad payer transfers) = N1
Sum of all trauma services N1s = NT
((N1 / NT) x total available for grant) = Volume
Volume + Level Base = trauma service grant amount

Figure 2 - Levels III – V Trauma Care Grant Calculation

Hospital Participation Grants – Levels I-V
We disburse these grants each year to all designated trauma services for both general and pediatric designations. The grant is to help offset the costs of participating in the trauma system. We use three criteria to calculate this grant:

- Designation level, with weight given to higher levels.
- Trauma patient volume, with weight given to higher volumes.
- Location, with weight given to rural services.
  The total grant funds available are divided among the criteria: 65 percent for level, 17.5 percent for volume and 17.5 percent for location. Each service is grouped by volume. The tables below show the volume group levels:

Acute Volume

Acute Volume	High	Medium	Low
I	1000+	500-999	0-499
II	500+	200-499	0-199
III	400+	100-399	0-99
IV	200+	30-99	0-29
V	50+	25-49	0-24

Pediatric Volume

Pediatric Volume	High	Medium	Low
I-P	150+	75-149	0-74
II-P	60+	30-59	0-29
III-P	40+	20-39	0-19

We base location on the most current population data from the Office of Financial Management.

Hospital Rehabilitation Participation Grants – Levels I and II

We disburse these grants each year to Level I and II designated trauma rehabilitation services for both general and pediatric designations. The grant is to help offset the costs of participating in the trauma system. We base the amount of the grant on level of designation only. Of the total grant funds available, 60 percent is for Level I services the remaining 40 percent is for Level II services. These amounts are then divided by the number of levels to give the individual grant amount.

16.4.5 Use Case: Approve Grants

Purpose	Payment process requires supervisory approval of the grant calculations
Description	System must: • Notify the user that the grant calculations are awaiting review. • Allow view only access to grant calculations. • Allow user to disposition (approve/deny) grant calculations. • Notify Program User if grant calculations have been denied, giving the Program user edit access, and an approval option to resend to supervisor. • Notify Contracts User when grants have been approved. • Post approved grant amounts to the Web for public view.
User Roles	OCHS Supervisor

16.4.6 Use Case: Amend Contract

Purpose	To amend contract to support annual Trauma Grant payment
Description	System must: • Alert user that Trauma Grant calculations are complete. • Allow user to complete contract amendments online. • Associate the grant amount and contract amendment to the original contract, other associated amendments as well as to the associated Trauma Designation credential • Auto fill associated contract amendment with details required. • Allow user to save amendment at any time, allowing user edit access when returning to the document. • Allow user to complete the contract amendment once all the relevant details are completed. • Allow user to send the contact amendment to the associated Trauma Care provider once "complete." • Not allow edit access once amendment has been sent to the provider.
User Roles	Contracts User

16.4.7 Use Case: Sign Contract Amendment

Purpose	To allow the Trauma Care Provider to sign the contract amendment which supports their annual trauma care grant payment
Description	System must: • Notify user that there is a contract amendment awaiting their review. • Not allow user edit access to the amendment. • Allow user to sign amendment online. • Give the user an approval option once the amendment has been signed. • Give the user a denial option when the amendment has not been signed. • Alert the contracts user when an approval or denial has been submitted.
User Roles	Trauma Care Provider User

16.4.8 Use Case: Finalize Amendment

Purpose	To finalize the contract amendment process
Description	System must: • Alert user that contract amendment has been approved/denied. • Allow user "view only" access if "approved." • Allow user "edit access" if "denied" (and ability to resend to trauma care provider) • Allow user an "approval" and "denial" option. • Once approved, create and send an A-19 to the associated Trauma Care Facility for the computed grant amount.

User Roles	Contracts User

16.4.9 Use Case: Sign A-19

Purpose	For facilities to complete and sign the A-19 for payment of their Trauma Care grant.
Description	System must: • Alert user that and A-19 is ready for approval • Allow user a print option • Allow user to upload and attach documentation • Allow user to sign A-19 online. • Allow user an "approve" and "deny" option. • Send the A-19 to fiscal for payment if approved. • Send the A-19 to OCHS user if denied.
User Roles	Trauma Care Provider

16.4.10 Use Case: Process Payment

Purpose	To process payment for Trauma Care grants
Description	System must: • Alert user that there is an A-19 awaiting payment. • Support Fiscal payment process
User Roles	Fiscal User

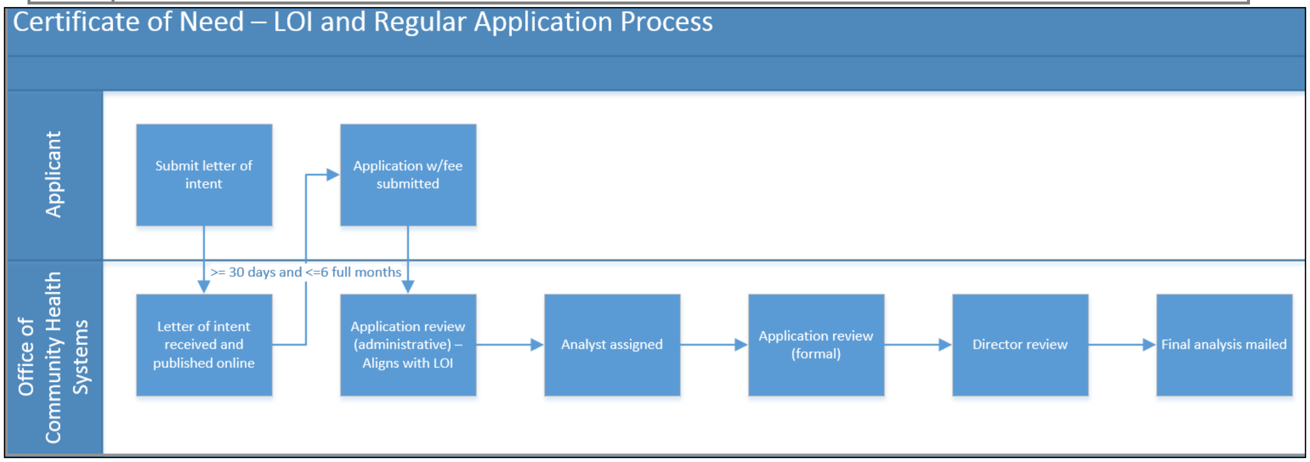
17 Facility Construction

17.1 Certificate of Need

17.1.1 Process: Certificate of Need (CON)

Purpose	To ensure that facilities and new services proposed by health care providers are needed for quality patient care within a particular region or community.
Owner	OCHS
Inputs	• Letter of intent • Certificate of Need application
Outputs	• Certificate of Need • License

Notes	The Certificate of Need (CoN) program is a regulatory process that requires certain health care providers to obtain state approval before building certain types of facilities or offering new or expanded services. The CoN process is intended to help ensure that facilities and new services proposed by health care providers are needed for quality patient care within a particular region or community.



17.2 Certificate of Need

17.2.1 Use Case: Submit Letter of Intent

Purpose	To allow applicants to submit a letter of intent online.
Description	The system must: • Allow applicant to complete and submit a letter of intent online. • Require a letter of intent for each reviewable project. • Must not allow further editing to documents once they are submitted. • Allow OCHS users to input letter of intent • Notify OCHS user when letter of intent is received online.
User Roles	Applicant

17.2.2 Use Case: Process Letter of Intent

Purpose	To process receipt of the letter of intent

Description	The system must: • Notify <u>OCHS staff</u> that an LOI has been received. • Notify <u>sender</u> that the LOI has been received • Allow OCHS staff to notify the applicant if the LOI is insufficient and a new one is required. • Assign a tracking number that will correlate to the application (to follow) when submitted. • Allow user to post letter of intent online for public review. • Allow user to remove online posting of LOI. • Track 30 days from receipt to 6 months from receipt. • Allow applications to only be submitted during the 30 day - 6 month time frame of the receipt of the LOI. • Allow LOI to be attached, uploaded and or linked to correspondence. • Not allow an LOI to be associated with a new application after 6 months.
User Roles	OCHS

17.2.3 Use Case: Submit Application and Fee

Purpose	Allow applicant to submit an application and the required fee online

Description	The system must: • Allow the application to be submitted no sooner than 31days and up to 6 months after the LOI has been submitted. • Allow the user to complete an application on line. • Allow OCHS users to input applications online. • Assign an application number that correlates to the related LOI submitted. • Give the user an option to submit an Amendment to a previously submitted application (another full application) • Designate an Amendment application as such, associating it with the original LOI and any previous related applications. • Not allow an Amendment after the application has completed the public comment period. • Allow users to complete an application any time after submitting a LOI. • Allow users to submit an application only during the 31st day-6 month time frame from receipt of LOI. • Calculate the fee based on information provided. • Require payment be made at the time the application is submitted. • Notify OCHS when an application has been submitted. • Send payment details to fiscal. • Allow user to upload (attach) supporting documentation to the application • Not allow further editing to documents once they are submitted. • Give the user a visual status of their application and dates of the status as it proceeds through the process e.g. application submitted, analyst assigned, review started, information requested, review complete, director approval, decision, appeal, etc.
User Roles	Applicant Consultant

17.2.4 Use Case: Review Application (Administrative)

Purpose	To review an application for completeness
Description	System must: • Index the LOI with the corresponding application. • Allow user to use submitted application as LOI, resetting 30 day wait period. • Notify the user of due dates (dashboard) • Allow application to be uploaded, attached, and/or linked to correspondence
User Roles	OCHS

17.2.5 Use Case: Review Application (Technical)

Purpose	To review the application to ensure all technical aspects of the application have been met
Description	System must: • Send an Analyst Assignment Notice including application screening dates and applicant response dates. • Determine the criteria used for each application type. • Keep a record of the findings for each criteria. • Allow user to send application to DSHS if the application pertains to nursing home care. • Allow DSHS users to respond to OCHS. • Support a check list type environment for receipt of documentation. • Allow user to send letter to request additional information. • Allow template letters for various circumstances. • Track 45 days from the date of the screening letter for receipt of information. • Allow user to extend due dates of the initial time frame. • Allow user to respond to screening letter, uploading any supporting documentation. • Allow the user to send the application back to any previous application review step, tracking the return date and subsequent dates.
User Roles	OCHS Program

17.2.6 Use Case: Review Application (Formal)

Purpose	To ensure the data supports the application decision as well as allowing public comment.

Description	System must: • Send the "Beginning of Review" notice. • Allow the user to associate other applications as "Competing Applications." • Allow public users to request interested or affected party status online. • Allow user to post application request for publication in local paper of service area. • Allow user to store name and address information for those who apply for interested/affected parties and if they meet the criteria for this classification. • Allow user to send formal notification to all parties requesting notification. • Allow public users to view the application and screening responses (maintain security) • Limit submission of comments within various predetermined dates and times. • Allow public hearings to be requested online. • Allow any written comments received by DOH to be sent to the applicant at the user discretion. • Allow user to complete a draft analysis for review. • Use templated format with WAC references. • Allow user to select the required approver and due date. • Notify the associated user that a draft analysis is ready for review. • Delete the previous versions of the analysis, any time it is updated. • Allow the user to send the application back to any previous application review step, tracking the return date and subsequent dates.
User Roles	OCHS Program OCHS Program Supervisor Other Users TBD

17.2.7 Use Case: Review Application (Director)

Purpose	To allow application to be reviewed by director for disposition
Description	System must: • Alert the director that there is a CON Evaluation for review. • Allow the director to return the evaluation to the analyst for revisions. • Allow free form text on notification. • Allow the director and analyst edit access during the director review period. • Allow the director to disposition application. • Not allow editing access to any user after the final decision has been submitted. • Allow the user to send the application back to any previous application review step, tracking the return date and subsequent dates.

User Roles	OCHS Director

17.2.8 Use Case: Mail Final Analysis

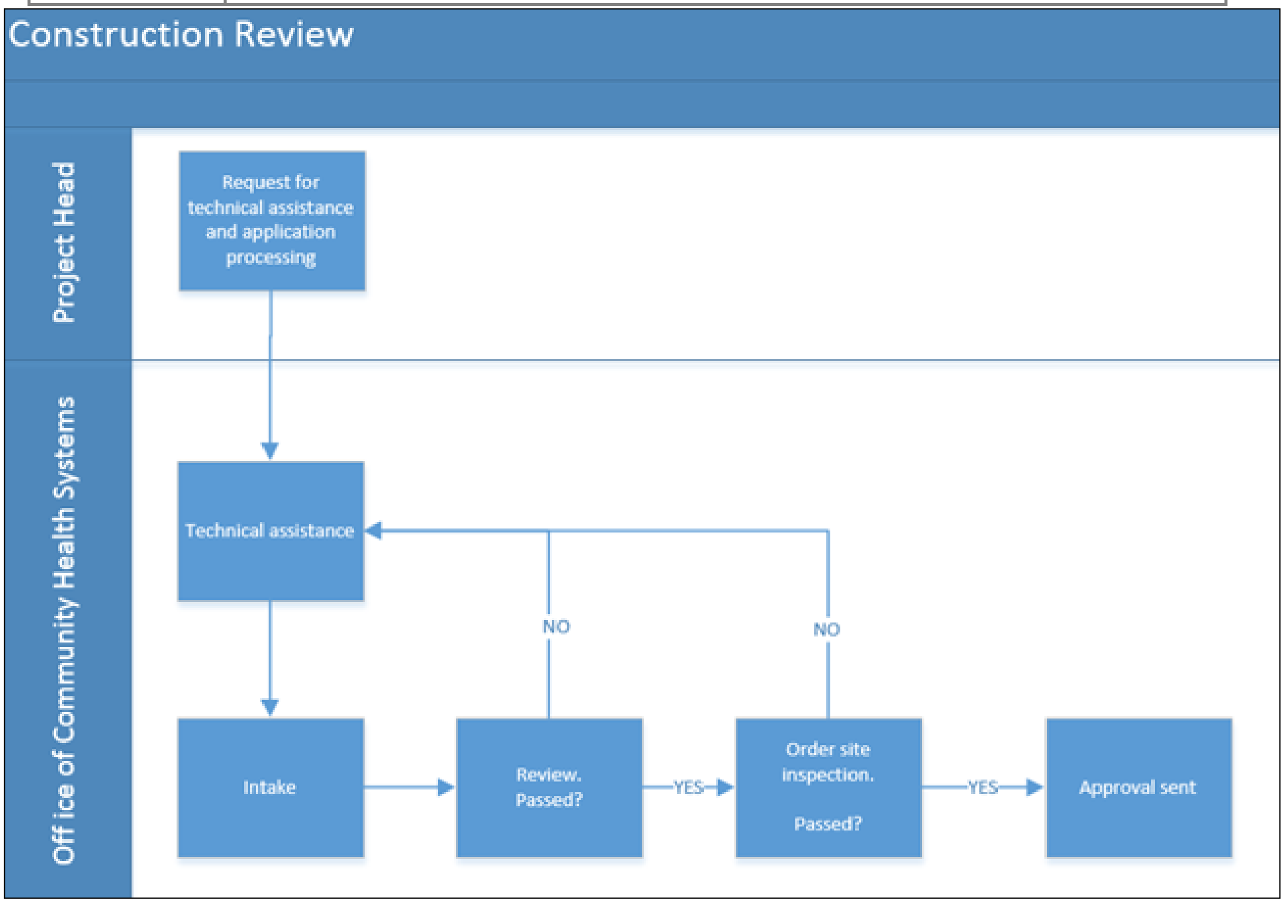
Purpose	To notify the applicant and interested parties of the department's decision
Description	System must: • Allow user to print the final analysis. • Allow user to send final analysis and offer letter (online) to the applicant and DSHS and FSL as required. • Allow for approvals with conditions. • Track the due date for return of offer letter. • Allow the applicant the option to accept or reject the conditions. • Allow for both approvals and denials of the application. • Generate a Certificate of Need that includes the project description, conditions, approved capital costs, issue date and expiration date. • Alert the project monitor that a CON has been issued. • Allow applicant or to file a Reconsideration Hearing on a denial decision within 28 days of the denial. • Allow any affected person to file an appeal of an approval within 28 days of the decision. • Allow User to post final decision on the web. • Allow user to send the final analysis to all interested and affected persons. • Allow users to extract reports regarding processing times, types of requests, pending applications, approved applications, denied applications, approved beds, stations, service area, etc. • Track receipt of quarterly progress reports until the project is complete. • Calculate progress report "quarters" from the date the CoN was approved. • Continue to require quarterly reports until the project is complete, OR for a minimum of two years, whichever is longer.
User Roles	OCHS Program

17.3 Construction Review

17.3.1 Process: Construction Review Services (CRS)

Purpose	To ensure construction on health facilities have safe and healthy physical environments
Owner	Office of Community Health Systems (OCHS)
Inputs	• Construction Review Application Packet

Outputs	• Certificate of Completion • License • Authorization to begin construction
Notes	Construction Review Services (CRS) works to protect the health of people in Washington State by ensuring that licensed facilities have safe and healthy physical environments.



17.4 Construction Review

17.4.1 Use Case: Request Technical Assistance and Submit Application

Purpose	To be able to submit an application and request technical assistance online.

Description	System must: • Allow user to submit an online request for technical assistance (optional) • Allow for application and supporting documentation to be submitted on-line. (45gb min capacity) • Calculate fees based on fee formulas. • Allow user to pay fees online • Only allow completed applications to be submitted which includes payment of fees.
User Roles	Applicant

17.4.2 Use Case: Intake Application

Purpose	To allow intake and assignment of incoming applications and requests for technical assistance.
Description	System must: • Categorize projects based on location, project size, project type. • Assign a unique number to the project. • Notify OCHS that application has been received. • Send fee payment information to fiscal. • System must categorize reviewers by regions • System must assign reviewer based on the "categorization" of the project. • Allow the user to change the assigned reviewer at any time.
User Roles	OCHS - Reviewer

17.4.3 Use Case: Review Application

Purpose	To determine if the application and documentation is complete and meets the required standards.

Description	System must: • Notify OCHS anytime documentation has been received. • Allow review staff to markup drawings (Bluebeam), copy drawings, copy portions of drawings. • Allow staff to complete a list of citations (lg project could be 150 citations), noting citations as significant or conditional and disposition them as open or closed • Not allow a review to "Pass" when "significant" citations are outstanding • Allow review staff to document progress and completion of each updated application document. • Allow review staff to work remotely with direct access to the system. • Allow applicant to provide updated documentation throughout the process • Require the applicant to identify the type of documentation that is being submitted and when it is ready for review. • Compare new versions of documents to the existing documentation and isolate variances (Bluebeam) • Require applicant to provide citation or reference when submitting updated documentation. • Require a narrative response to each citation. • Maintain version control when revised documentation is submitted. • Provide OCHS and the applicant with a status view of the application in progress. 1. Preliminary (when they're getting documentation to us) 2. Not approved (enough documentation has been received so that a determination can be made that either cannon go forward, or review is underway) 3. A2BC 4. Canceled 5. Approved 6. Complete
User Roles	OCHS - Reviewer

17.4.4 Use Case: Complete Application Review - No Issues

Purpose	This processes finalizes the review and authorizes applicant to begin construction (A2BC)
Description	System will: • Allow user to designate the review as complete • Allow user to notify the applicant of all citations needing to be resolved. • Generate notice of Approval to Begin Construction (A2BC) (templates and free form text)
User Roles	OCHS - Reviewer OCHS - Approver

17.4.5 Use Case: Order Site Inspection

Purpose	Periodic site inspections are required during the construction phase. This allows inspections to be ordered online.
Description	System must: • Allow applicant to initiate site inspection • Auto assign site Inspector based on location • Allow off site Inspector to access the record in the system and perform any duties an onsite user can do (initiate letters, mark up drawings, etc.). • Notify OCHS staff of the status of inspection and when the inspection is complete. • Allow user to notify the applicant of all inspection citations.
User Roles	Applicant OCHS - Reviewer

17.4.6 Use Case: Complete Site Visit - No Outstanding Citations

Purpose	To approve the project and authorize a Certificate of Completion.
Description	System must: • Allow site inspectors to work remotely with direct access to the system. • Allow projects to be reviewed and approved under the building code which they were originally approved. • Allow template letters w/free form text to be sent by OCHS staff • Maintain a chronological record of correspondence sent and an option to review, print, resend any previous correspondence. • Monitor receipt of progress reports at times/dates indicated by the user.
User Roles	OCHS - Reviewer OCHS - Approver

17.4.7 Use Case: Complete Application Review - Outstanding Citations

Purpose	To notify applicant that the documentation is incomplete or there are outstanding citations that need to be resolved.
Description	System must: • Generate a notification to the applicant with a list of citations that need to be resolved. • Must notify OCHS staff when a response to citations has been received • Allow applicant to notify OCHS staff when the project is complete (Pink Card), allowing the upload of supporting documentation.
User Roles	OCHS - Reviewer Applicant

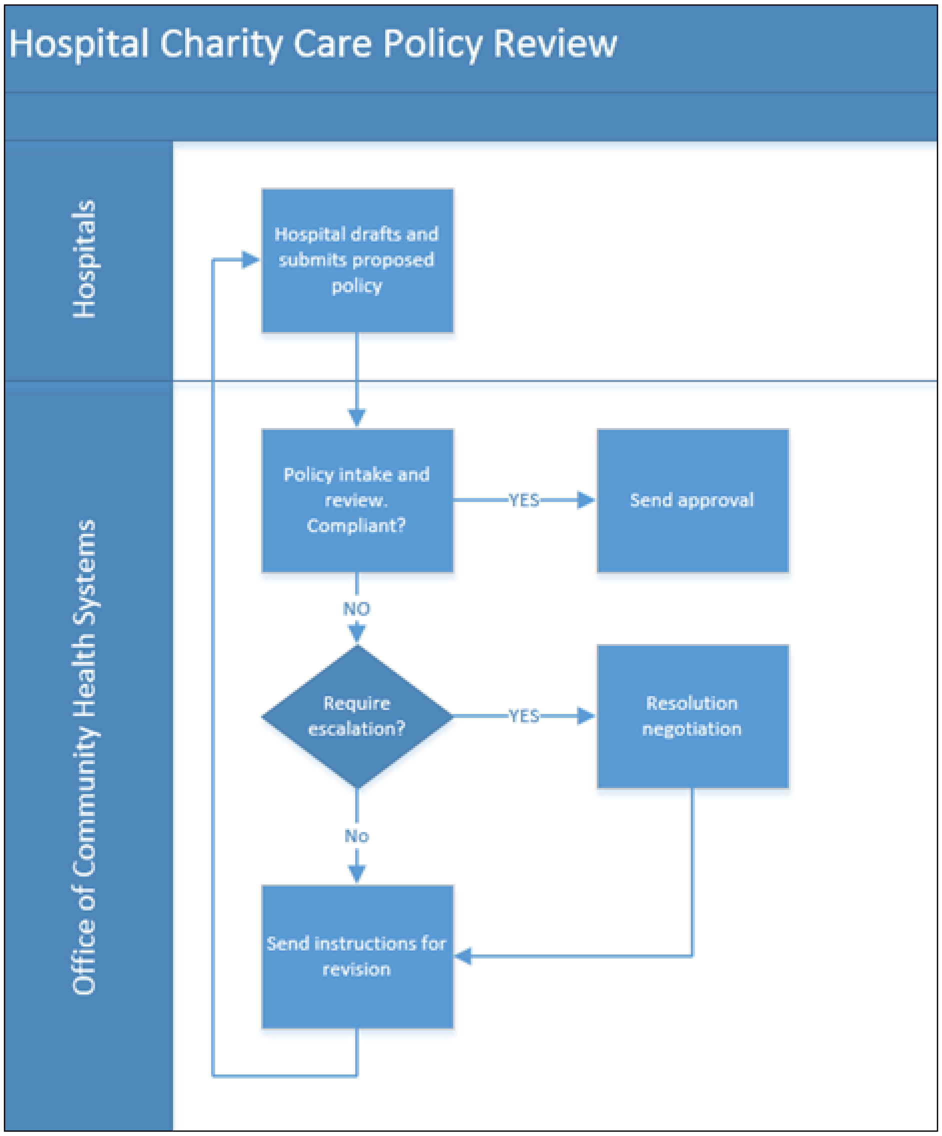
18 Charity Care

This package contains the process for the charity care program review and the charity care patient process

18.1 Charity Care - Program Review

18.1.1 Process: Charity Care Complaint Policy Review

Purpose	To review and approve proposed charity care policies.
Owner	OCHS
Inputs	Draft policy
Outputs	Approved policy - letter Denied policy - letter
Notes	This process allows for the review and approval of charity care policies.



18.2 Charity Care - Program Review

18.2.1 Submit Policy for Review

System must:

- Allow user to submit their policy online.
- Allow the user to upload supporting documentation.
- Must version the policy documents received.
- Require users to add free form text to their submission.

18.2.2 Intake and Review Policy

The system must:

- Provide a status of the policy submission by system actions (i.e. In Review, Sent for revision, Approved, etc.)

- Notify the user when policy has been received for review.
- Track a 14 day processing period, from the system date at submission.
- Allow user to review the information submitted.
- Allow user to identify which WAC areas are out of compliance (check list)

18.2.3 Send Instructions for Revision

System must:

- Generate a letter of non-compliance, auto completing facility information, version of the policy being reviewed and the WAC areas that are out of compliance.
- Monitor follow up action request within a user specified time frame.

18.2.4 Resubmit Revisions

The system must:

- Allow the user access to update the existing documentation, versioning the change.
- Allow user to resubmit the changed document.
- Notify user that a policy has been resubmitted for review

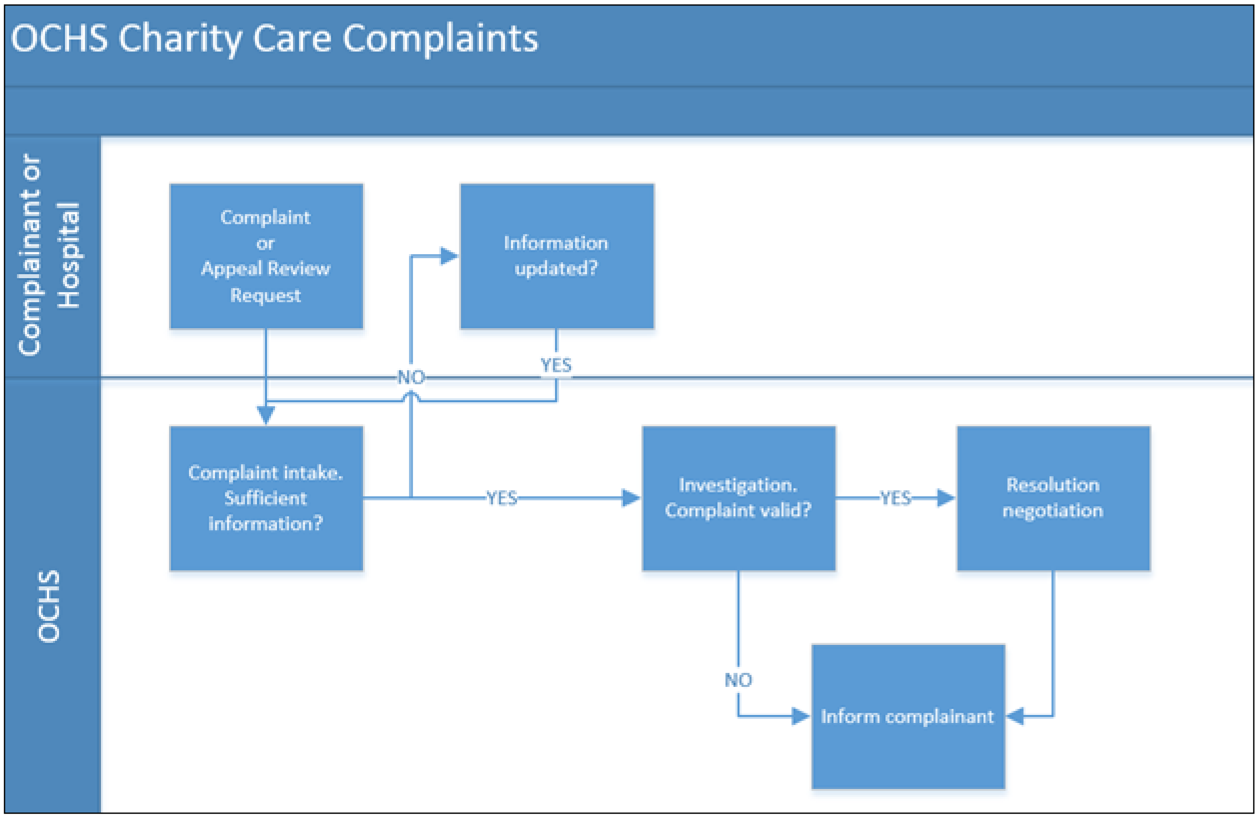
18.2.5 Approve Policy

- System must send an approval notification to the facility, using template letter and free form text.
- System must post the approved policy for public access.

18.3 Charity Care Complaint and Appeals

18.3.1 Process: Hospital Charity Care Complaint and Appeals Review

Purpose	Enforce compliance with hospital's own charity care policy
Owner	OCHS
Inputs	Complaint
Outputs	Determination Letter
Notes	This process enforces compliance with a hospitals own charity care policy.



18.4 Charity Care Complaint and Appeals

18.4.1 Use Case: Initiate Complaint

Purpose	For complainants or hospitals to submit a charity care complaint
Description	System must: • Allow user to initiate complaints online and submit to OCHS. • Allow OCHS staff to input complaints manually. • Allow a hospital to submit an appeals review • Differentiate between an initial complaint and an appeal review • Associate an appeals review with the original complaint. • Not allow user edit access after the complaint has been submitted.
User Roles	OCHS

18.4.2 Use Case: Intake Complaint or Appeal

Purpose	So OCHS staff can review the complaint or appeal for validity

Description	System must: • Notify OCHS staff that a complaint or appeal has been submitted. • Status the complaint or appeal through the process based on the system function .e.g. Pending, Requested more info, Investigating, Closed - Approved, Closed – Denied, etc. • Allow user to request the complainant or hospital to provide more information. • Generate letters and set due dates. • Allow the user to set reminders/due dates with specific dates. • Allow staff to easily review outstanding complaints or appeals
User Roles	OCHS

18.4.3 Use Case: Provide Additional Information

Purpose	Allow the complainant or hospital to provide more information.
Description	System must: • Allow the complainant or hospital to provide additional information, associating it to the original complaint. • Notify the OCHS user that additional information has been provided.
User Roles	Complainant Hospital

18.4.4 Use Case: Resolve Complaint or Appeal

Purpose	To notify complainant of the resolution of the their complaint or appeal
Description	System must: • Allow the user to generate a resolution/determination letter allowing free form text. • Allow user to "close" complaint or appeal with the disposition.
User Roles	OCHS