

2022

Skagit County
Developmental
Disabilities

Employment & Community Inclusion Services



1.0	PURPOSE	3
2.0	MODIFICATION	3
3.0	DEFINITION OF TERMS	3
4.0	APPLICABLE POLICIES, LAWS & REGULATIONS	7
5.0	ORDER OF PRECEDENCE	8
6.0	HEALTH, SAFETY & INDIVIDUAL RIGHTS	8
6.1	Background Checks	8
6.2	Mandatory Reporting of Abuse, Neglect & other Incidences	9
6.3	Access to Disability Rights WA (DRW)	10
6.4	Client Rights	10
6.5	Health & Safety Regulations	10
6.6	Staff Intervention	11
6.7	Community Protection Standards for Employment & Day Programs	11
6.8	Updated Medical Information	11
6.9	Confidentiality	11
6.10	Non-Discrimination	13
6.11	Culturally-Appropriate Services	13
7.0	SERVICES ACCORDING TO INDIVIDUAL NEED	13
7.1	Eligibility	13
7.2	Admission & Termination Criteria	14
7.3	DSHS/DDA Person-Centered Service Plan (PCSP)	14
7.4	Individual Plan for County Services	14
7.5	Annual Plan Review	14
7.6	Progress Reports	14
7.7	Assessing Employment Strategies & Progress Measures	15
7.8	individualized Employment Plan	15
7.9	Community Inclusion Plan	16
7.10	Informed Choice	17
7.11	Staffing Levels	17
7.12	Other Services/Supports	17
7.13	Self-Employment	18
7.14	DVR & Social Security Work Incentives	18
7.15	Transportation	18
7.16	Documentation	18
8.0	ORGANIZATIONAL REQUIREMENTS	19

8.1 Board of Directors	19
8.2 Administration	19
8.3 Performance Plan	20
8.4 Continued Qualification	21
8.5 Employment Services Provider Qualifications	21
8.6 Community Inclusion Services Provider Qualifications	22
9.0 STAFF TRAINING & QUALIFICATIONS	22
9.1 Staff Qualifications	22
9.2 Staff Trainings	23
9.3 Training Reimbursement	24
10.0 BASIS FOR CLIENT SERVICE LEVEL	24
10.1 Basis for Client Services Authorization: Individual Employment	24
10.2 Basis for Client Services Authorization: Group Supported Employment	26
10.3 Basis for Client Services Authorization: Community Inclusion	27
10.4 County Service Authorization	28
11.0 SERVICE CHANGE PROCEDURES	29
11.1 Service Change Form	29
11.2 Communication of Services Levels to the Client	29
11.3 Exceptional Service Level Requests	29
11.4 Deadline for Service Changes Requests	29
11.5 Individualized Technical Assistance	29
11.6 Subcontractors	30
12.0 OUTCOMES	30
13.0 MONITORING & EVALUATION	30
13.1 Access to Records	30
13.2 Corrective Action	31
13.3 Extended Records Retention Timeframe	31
14.0 NON-COMPLIANCE	31
15.0 NO ACTIVE DEBARMENT	31
Attachment A: policy 6.08 Reporting Timelines	32
Attachment B: Policy 6.08 Mandatory Reporting Form	33
Attachment C: Data Security Requirements	34

1.0 PURPOSE

The Skagit County Public Health Developmental Disabilities Program currently contracts to provide Pathway to Employment and Community Inclusion Services for clients of the Washington State Department of Social and Health Services, Developmental Disabilities Administration (DSHS/DDA).

The purpose of this program implementation guide is to provide an overview of County service policies, procedures, and requirements related to the implementation of County-funded employment and community inclusion services.

The requirements outlined in this guide, and those contained in the attached contract, will provide the basis for contract compliance reviews. All references to DSHS/DDA policy may be found online at <https://www.dshs.wa.gov/dda/policies-and-rules/policy-manual>

2.0 MODIFICATION

This guide provides a summary of State and County policy, procedures, and references applicable to State and Federal laws. The implementation guide may be amended or updated with prior notification by the County and agreement from County-contracted providers. A contract amendment is not required.

3.0 DEFINITIONS OF TERMS

Acuity Level:	The level of an individual's abilities and needs as determined through the DDA assessment
AWA:	ALTSA Web Access
Additional Consumer Services:	<p>Refers to indirect client service types as follows:</p> <ol style="list-style-type: none">1. "Community Information and Education": Activities to inform and/or educate the general public about developmental disabilities and related services. These may include information and referral services; activities aimed to promoting public awareness and involvement; and community consultation, capacity building and organization activities.2. "Training": To increase the job-related skills and knowledge of staff, providers, volunteers, or interning students in the provision of services to people with developmental disabilities. Also, to enhance program related skills to board or advisory board members.3. "Other Activities": reserved for special project and demonstrations categorized into the following types:

- a. Infrastructure projects: Projects in support of Clients (services not easily tracked back to a specific working age Client) or that directly benefit a Client(s) but the client is not of working age. Examples include planning services like benefits planning or generic job development e.g. "Project Search".
- b. Start-up Projects: Projects that support an agency or directly benefit the agency. Examples include equipment purchases and agency administrative support.
- c. Partnership Project: Collaborative partnerships with school districts, employment providers, DVR, families, employers, and other community collaborators needed to provide the employment supports and services young adults with developmental disabilities require to become employed during the school year they turn twenty-one (21).

ADSA:	Aging & Disability Services Administration
Authorized User:	An individual with an authorized business requirement to access DSHS Confidential Information
BARS:	Budget and Accounting Reporting System
CMIS:	Case Management Information System
Client:	A person with a developmental disability as defined in chapter 388-823 WAC who is currently eligible and active with the Developmental Disabilities Administration or is an identified PASRR Client.
Competitive Integrated Employment:	Work performed by an individual on a part-time or full-time basis, within an integrated setting within the community that meets HCBS settings requirements. The individual must be compensated at minimum wage or higher, using the higher of the Federal, State, or local rate, and at a rate comparable to the wage paid to non-disabled workers performing the same tasks, including receiving the same benefits and opportunities for advancement.

Consumer Support:	Refers to direct Client service types: Community Inclusion (CI), Child Development Services (CDS), Individual Supported Employment (IE), Individualized Technical Assistance (ITA), Group Supported Employment (GSE)
Confidential Information:	Information that is exempt from disclosure to the public or other unauthorized persons under Chapter 42.56 RCW or other federal or state laws. Confidential information includes but is not limited to personal information.
Contractor:	A Provider that delivers specified services under contract with the Skagit County Public Health and Community Services, Developmental Disabilities Program
County:	The political subdivision of the state of Washington and the county or counties entering into this Program Agreement.
CRM:	DDA Case Resource Manager
CSA:	County Service Authorization
DD:	developmental disabilities
DDA:	Department of Social and Health Services, Developmental Disabilities Administration.
DDA Region:	DDA Regional office
DSHS:	Washington State Department of Social and Health Services
DVR:	Division of Vocational Rehabilitation
Encrypt:	Means to encode Confidential Information into a format that can only be read by those possessing a “key”; a password, digital certificate or other mechanism available only to authorized users. Encryption must use a key length of at least 128 bits.
Employment Outcome Payment:	Payment to providers for transition students born between specific dates; have high acuity; are authorized for Individual employment; and student obtains a competitive integrated job within a specific timeframe. If the job is a minimum of ten hours of work per week an additional amount will be included in the payment.
General Terms and Conditions:	The Contractual provisions contained within that agreement, which govern the contractual relationship between DSHS and the county.

HCBS:	Medicaid Home and Community Based Services.
Hardened Password:	A string of at least eight characters containing at least one alphabetic character, at least one number and at least one special character such as an asterisk, ampersand or exclamation point.
ISP:	Individual Support Plan; a document that authorizes and identifies the DDA paid services to meet a client's assessed needs.
PASS:	Plan for Achieving Self-Support, a Social Security Work Incentives program
PASRR:	Pre-Admission Screening and Resident Review
PCSP:	Person Centered Service Plan, a document that authorizes and identifies the DDA paid services to meet a Client's assessed needs. Formerly referred to as the Individual Support Plan.
Personal Information:	Information identifiable to the person, including but not limited to information that relates to a person's name, health, finances, education, business, use or receipt of governmental services, address, telephone number, social security number, driver's license number, financial identifiers, or other identifying numbers.
Physically Secure:	Access is restricted through physical means to authorized individuals only.
Quality Assurance:	Adherence to all Program Agreement requirements, including DDA Policy 6.13, Employment/Day Program Provider Qualifications, County Guidelines, and the Criteria for Evaluation, as well as a focus on reasonably expected levels of performance, quality, and practice.
Quality Improvement:	A focus on activities to improve performance above minimum standards and reasonably expected levels of performance, quality, and practice.
RCW:	Revised Code of Washington
Secured Area:	An area to which only authorized representatives of the entity possessing the Confidential Information have access. Secured Areas may include buildings, rooms, or locked storage containers (such as a filing cabinet) within a room, as long as access to the Confidential Information is not available to unauthorized personnel.
Service Provider:	A qualified Client service vendor who is contracted to provide Employment and Day Program Services.

Subcontractor:	The Service Provider contracted by the County to provide services.
Trusted Systems:	Includes only the following methods of physical delivery (1) hand-delivery by a person authorized to have access to the Confidential Information with written acknowledgement of receipt; (2) United States Postal Service ("USPS") first class mail, or USPS delivery services that include Tracking, such as Certified Mail, Express Mail or Registered Mail; (3) commercial delivery services (e.g. FedEx, UPS, DHL) which offer tracking and receipt confirmation. For electronic transmission, the Washington State Governmental Network (SGN) is a Trusted System for communications within that Network.
Unique User ID:	A string of characters that identifies a specific user and which, in conjunction with a password, passphrase or other mechanism, authenticates a user to an information system.
WAC:	Washington Administrative Code

4.0 APPLICABLE POLICIES, LAWS, & REGULATIONS

The Contractor will provide employment and community inclusion services to persons determined eligible by DSHS/DDA in accordance with the following policies, laws, and regulations and will comply with all applicable federal state and local laws, rules, and regulations in implementing this contract.

A. Federal Law

- ❖ Americans with Disabilities Act (ADA) [Americans with Disabilities Act | U.S. Department of Labor \(dol.gov\)](#)
- ❖ Individuals with Disabilities Education Act (IDEA) <http://idea.ed.gov/>
- ❖ Fair Labor Standards Act (FLSA) ([Wages and the Fair Labor Standards Act | U.S. Department of Labor \(dol.gov\)](#))
- ❖ Rehabilitation Act of 1973 [The Rehabilitation Act of 1973 | U.S. Equal Employment Opportunity Commission \(eeoc.gov\)](#)
- ❖ Home and Community-based Settings [Home & Community Based Settings Requirements Compliance Toolkit | Medicaid](#)

B. Revised Code of Washington

26.44	Abuse of Children
39.12.022	Exception to prevailing rate
42.56	Public Records Act
43.43.830 - 845	Background Checks
49.17	Washington Industrial Safety & Health Act
71A.14.070	Confidentiality of Information, Oath

74.15.030	Background Checks
74.34	Abuse of Vulnerable Adults

C. Washington Administrative Code

296-24	General Safety & Health
296-62	General Occupational Health Standards
299-227	Sub Prevailing Wage Certificate
388-823	Developmental Disabilities Administration Eligibility
388-825	Developmental Disabilities Administration Service Rules
388-845	Home and Community Based Waivers
388-828-9200	Employment Acuity Score
388-828-9325	Employment Service Level
388-828-9300	Community Access Service Level
388-850:	Program Operations, General provisions
388-06	Background Checks
388-845	HCBS Waiver definitions

D. DDA Policies (<https://www.dshs.wa.gov/dda/policies-and-rules/policy-manual>)

E. County Guidelines

Please see

https://www.dshs.wa.gov/sites/default/files/DDA/dda/documents/c_guidelines.pdf

F. County Criteria for Evaluation

Please see Counties Best Practices website, Administrative Reference Section:

<https://www.dshs.wa.gov/dda/county-best-practices>

5.0 ORDER OF PRECEDENCE

In the event of any inconsistency in this Agreement, unless otherwise provided herein, the inconsistency shall be resolved by giving precedence in the following order to:

- A. Applicable federal, state, and local law, regulations, rules, and ordinances
- B. This agreement
- C. Any document incorporated in the Agreement by reference

6.0 HEALTH, SAFETY, & INDIVIDUAL RIGHTS

6.1 Background Checks

A background/criminal history clearance is required every three years for all employees, subcontractors, and/or volunteer who may have unsupervised access to vulnerable DSHS Clients, in accordance with RCW 43.43.830-845, RCW 74.15.030 and chapter 388 WAC.

The Contractor will ensure that:

- The criminal background clearance is completed in line with timelines and requirements outlined in DSHS/DDA policy 5.01 *Background Authorizations*
- Individuals who have resided less than three (3) consecutive years in Washington State must be fingerprinted so that an FBI criminal history may be completed.
- Initial background checks are completed before hiring.
- Applicant's information provided on the form is verified through photo identification such as driver's license, passport, tribal ID, etc.

The Contractor will make available upon request by the County proof of satisfactory background check clearance, free of disqualifying convictions from the DSHS Background Check Unit (BCCU), for each employee, subcontractor, intern, and/or volunteer involved with the provision of services specified in this Agreement. If the entity reviewing the application elects to hire or retain an individual after receiving notice that the applicant has a conviction for an offense that would disqualify the applicant from having unsupervised access to vulnerable adults as defined in Chapter 73.34 RCW, then payment shall be denied for any subsequent services rendered by the disqualified individual provider. The DSHS Background Check Central Unit (BCCU) must be utilized to obtain background clearance.

DSHS/DDA background check forms and information may be found at:

<http://www.dshs.wa.gov/BCCU/bccuforms.shtml>

Current definitions and listing of disqualifying convictions are available online at:

[Disqualifying List of Crimes and Negative Actions | DSHS \(wa.gov\)](#)

6.2 Mandatory Reporting of Abuse, Neglect & other Incidents

Contractor staff members providing services to individuals with developmental disabilities are deemed mandatory reporters, and are responsible for reporting incidents of suspected abuse, improper use of restraint, neglect, self-neglect, personal or financial exploitation, abandonment, and mistreatment of clients of the DDA as well as other types of incidents. Reporting of incidents involving DDA clients shall be in line with the requirements and definitions listed within DDA Policy 6.08.

- Reporting to the County and DDA must comply with the requirements, definitions and timelines outlined in the policy.
- Contractor must have policies and procedures in place consistent with Policy 6.08
- The Contractor must use an approved incident reporting form, when providing written report of incidents to the County and DDA.
- Attachment A provides a summary of the reporting timelines in Policy 6.08.
- Attachment B provides a copy of the form required for signature by all contractor's staff upon initial hire and then annually thereafter (effective 7.1.11). This assurance form verifies that contractors' staff members have read and will abide by Policy 6.08. Another format may substitute if it contains all the elements required.
- DSHS form 10-331 DDA Mortality Review referenced in the policy can be found at the following link: <https://www.dshs.wa.gov/sites/default/files/FSA/forms/pdf/10-331.pdf>
- Incident reports are tracked and analyzed for potential trends and patterns.

6.3 Access to Disability Rights Washington (DRW)

Disability Rights Washington (DRW) has the authority and responsibility to investigate all reports of alleged abuse, neglect, and violation of civil rights of individuals with developmental disabilities pursuant to the Developmental Disabilities Assistance and Bill of Rights Act of 1975 (42 USC, sec. 6000, *et seq.*). If DRW is investigating an allegation of abuse, neglect, or rights violation, the Contractor will cooperate fully, allowing access by WPAS to clients and to client records as outlined in the DSHS/DRW Access Agreement.

<https://www.dshs.wa.gov/sites/default/files/DDA/dda/documents/policy/policy13.04.pdf>

6.4 Client Rights

The Contractor will provide each client who is receiving services and his/her legal guardian as appropriate, with information explaining the client's rights as a consumer of contracted services. This information will include the following:

- A. Participant rights, per DSHS/DDA Policy 5.06
- B. Grievance procedures: The Contractor will have written grievance procedures approved by the County that:
 - 1. Are explained to participants and others in accordance with DDA Policy 5.02, Necessary Supplemental Accommodation;
 - 2. Negotiate conflicts.
 - 3. Ensure advocates are welcome and participants are encouraged to bring advocates to help negotiate.
 - 4. Provides a mediation process using someone who is unaffected by the outcome if conflicts remain unresolved (a DDA Case Resource Manager may be included as an alternative option).
 - 5. Prohibit retaliation for using the grievance process.
 - 6. Include a process for tracking and reporting grievances.
- C. Services and supports that may be expected from the program including type and amount of support.

Grievance procedures and participants' rights should be provided to the client/guardian upon entry into the program. The Contractor will confirm that the information was provided through documentation of a client/guardian's signature and date. The County requires that client rights and grievance procedures be reviewed annually with the client/guardian.

6.5 Health & Safety Regulations

All services for persons with developmental disabilities must be provided with attention to their health and safety. The Contractor will comply with all state regulations and all local ordinances related to fire, health, and safety standards whenever services are delivered. This applies to the environment itself (e.g. a facility-based employment site or pre-school), a

part of the environment (e.g., machinery present), or program components (e.g. community travel or mobility training). The Contractor will develop and update an annual Health and Safety Plan for each participant.

Contractors will comply with all applicable federal, state, and local fire, health, and safety regulations, which include, but are not limited to:

1. Federal: Occupational Safety and Health Act of 1970, P.L. 91-596, 84 USC 1590
2. State: Washington Industrial Safety and Health Act, RCW 49.17, WAC 296-24 and 296-62; State Building Code Act/Uniform Fire Code, RCW 19.27

6.6 Staff Intervention

The Contractor will provide for staff intervention in the most dignified, age-appropriate manner necessary in all situations, including instances when a client's behavior jeopardizes the safety of him/herself or others, or the behavior significantly disrupts program operations. All interventions shall meet requirements under DSHS/DDA Policy 5.14: *Positive Behavior Support Principles*, Policy 5.15: *Restrictive Procedures: Community*, and Policy 5.17: *Physical Intervention Techniques*.

Restrictive procedures implemented under emergency guidelines as described in DDA Policy 5.15 *Restrictive Procedures: Community* and Policy 5.17 *Physical Intervention Techniques* must be reported in writing to DDA within one (1) business day as outlined in Policy 6.08.

6.7 Community Protection Standards for Employment & Day Program Services

Services to DDA-identified "community protection" clients referred for Employment or Community Inclusion services will be provided in line with DSHS DDA policy 15.03 "Community Protection Standards for Employment and Day Program Services". For more information on the DDA Community Protection Program please go to the DDA website. <https://www.dshs.wa.gov/sites/default/files/DDA/dda/documents/policy/policy15.03.pdf>

6.8 Updated Medical Information

The Contractor will maintain a file for each client containing current medical information (e.g. medications, dietary restrictions, allergies, etc.) needed for the safe provision of County-funded services by the Contractor. Medical information will be updated as needed and, at minimum, annually.

6.9 Confidentiality

- A. The Contractor shall not use, publish, transfer, sell or otherwise disclose any confidential information for any purpose that is not directly connected with the performance of County-funded services, except:
 1. As provided by law, RCW 42.56, Public Records Act
 2. In the case of personal information, as provided by law or with written consent of the person or personal representative of the person who is the subject of personal information.
- B. The Contractor's employees with access to confidential information are required to sign an oath of confidentiality, pursuant to RCW 71A.14.070. In order to share confidential information with other agencies, individuals, or entities, the Contractor will require

Release of Information Forms (ROIF) signed by the client/guardian and indicating the type of information released, the agency to whom the information will be released, and for how long or for what purpose(s) the ROIF is valid.

- C. The Contractor shall protect and maintain all confidential information gained by reason of contracted County services against unauthorized use, access, disclosure, modification or loss. This duty requires the Contractor to employ reasonable security measures, which includes restricting access to the confidential information by:
 - 1. Allowing access only to staff that have an authorized business requirement to view the confidential information.
 - 2. Physically securing any computers, documents, or other media containing the confidential information.
 - 3. Ensuring the security of confidential information transmitted via fax (Facsimile) by verifying the recipient phone number to prevent accidental transmittal of confidential information to an unauthorized provider.
 - 4. Use of State of Washington secure email server when communicating confidential information through email.
- D. When transporting six (6) to one hundred and forty nine (149) records containing Confidential Information, outside of a secure area, do one or more of the following as appropriate:
 - 1. Use a Trusted System
 - 2. Encrypt the confidential information, including:
 - Email and/or email attachments
 - Confidential information when it is stored on portable devices or media, including but not limited to laptop computers and flash memory devices.
- E. When transporting one hundred fifty (150) records or more containing confidential information outside a secure area, refer to the requirement in Attachment C – Data Security Requirements.
- F. In the event that the Contractor ends its contractual relationship with the County, all client files and related confidential materials shall be returned to the County. Alternately, with approval from the County, the Contractor may certify in writing the destruction of confidential materials. Certification must include the method used and the entity contracted to carry out file destruction.
- G. Paper documents with confidential information may be recycled through a contracted firm, provided the contract with the recycler specifies that the confidentiality of information will be protected, and the information destroyed through the recycling process. Paper documents containing confidential information requiring special handling (e.g. protected health information) must be destroyed through shredding, pulping or incineration.
- H. The compromise or potential compromise of confidential information must be reported to the County DD Coordinator and DDA Regional Administrator within one (1) business day of

discovery. The Contractor must also take actions to mitigate the risk of loss and comply with any notification or other requirements imposed by law.

6.10 Non-Discrimination

The Contractor will not discriminate against any person on the basis of race, age, creed, political ideology, color, national origin, citizenship or immigration status, sex, military status, marital status, sexual orientation including gender Identity, age, HIV/AIDS status or the presence of any sensory, mental, or physical disability or the use of a trained dog guide or service animal by a person with a disability. The Contractor will have written policies prohibiting discrimination, in compliance with state law and Section 504 of the Federal Rehabilitation Act and the Americans with Disabilities Act.

6.11 Culturally Appropriate Services

The Contractor will respect and support the linguistic and cultural background of the participant and his/her family in the delivery of services. The Contractor shall ensure equal access of services and programs to those persons who do not speak, have a limited ability to speak, read or write English well enough to understand and communicate effectively pursuant to DDA Policy 5.05, Limited English Proficient (LEP) clients.

7.0 SERVICES ACCORDING TO INDIVIDUAL NEED

7.1 Eligibility

Client eligibility and service referral are the responsibility of DSHS/DDA, pursuant to WAC 388- 823 (Eligibility) and chapter 388-825 (Service Rules). Only persons referred by DSHS/DDA shall be eligible for direct Client services. Direct Client services provided without authorization will not be reimbursable.

7.2 Admission & Termination Criteria

The Contractor retains the right to deny new referrals for service. The Contractor also retains the right to terminate services to individuals for cause.

1. The Contractor shall have written policies and procedures in place detailing admission and termination criteria that are provided to the client upon request for or entry into services.
2. The policies shall describe the reasons that may lead to non-acceptance of a referral or termination of current service to an individual.

7.3 DSHS/DDA Person-Centered Service Plan (PCSP)

All DDA clients who are receiving DDA paid services will have a Person Centered Service Plan that describes the services they are authorized to receive. The Case Resource Manager will develop the plan and should give to the client and provider following the assessment and planning session

The County expects the Contractor to:

1. Identify a primary contact for communication with DDA related to scheduling of PCSP meetings.

2. Identify and train appropriate staff to participate or provide information as needed for the PCSP to accurately capture the client's support needs (including monthly service hours).
3. Ensure that staff provides accurate and current information about the clients' individual support needs.
4. Respond to DDA requests for information such as case notes or annual plans within 24 hours of the request being made.

The Contractor must keep a copy of the PCSP in the client's file, or otherwise accessible to direct service staff, as needed, to provide an accurate scope of services to be provided.

7.4 Individual Plan for County Services

The Contractor is required to develop a written, individualized service plan for each client, completed within 60 days of County authorization. This individual plan is meant to be the "driver" or basis for support services delivered by the Contractor. The individual plan must be updated and reviewed at least annually by the planning team, as described below.

The individual plan requires the development of a planning team including the client, client's guardian (when applicable), DDA Case Resource Manager, direct services staff or CRP, and others identified by the participant to provide input. At a minimum, the DDA Case Resource Manager and the individual/guardian will receive a copy of the completed plan. Other members of the planning team may request a copy with the client's permission.

The Contractor is expected to communicate monthly service hours that will be expected by the Client. The Contractor will make sure that the participant/guardian understands the process and how often the direct services staff will meet with the participant.

The Contractor should also develop an Individualized Safety Plan for clients that addresses the specific needs, concerns, or considerations when considering the client's health and safety at the setting where the participant typically receives services. This Individualized Safety Plan should be specific to each client and their job site or site(s) where they engage in Community Inclusion services.

7.5 Annual Plan Review

The Individual Employment or Community Inclusion plan will be reviewed at least annually for all clients. Annual plan review and update should include review of current goals, supports and service strategies identified to achieve employment or community inclusion goals. The client should be involved in the planning process and offer input into the employment goal, along with clearly defining how they will participate in achieving that goal. At a minimum, the DDA Case/Resource Manager and the individual and his/her guardian should receive a copy of the updated plan with a progress summary. The client's Individualized Safety Plan should also be reviewed annually and updated, as needed.

7.6 Progress Reports

- A. The Contractor shall document measurable progress toward achieving the individual's service goals every six months in a format approved by the County. Six (6) month

progress updates must be sent to the DDA Case Resource Manager and the client/guardian.

- B. If clients in Individual Employment or Group Supported Employment have not obtained paid employment at minimum wage or better within six (6) months the Contractor will:
 - 1. Review the progress toward service goals (6 month plan).
 - 2. Provide evidence of consultation with the client/guardian.
 - 3. Develop additional strategies with the client/guardian and CRM; strategies may include technical assistance, changing to a new provider, and/or additional resources as needed to support employment goals.
 - 4. Document the new strategies developed with-in the 6 month plan for each client within the client's file.
- C. If after 12 months the client remains unemployed, an annual plan review will be conducted. The Contractor will address steps outlined in the previous six month plan report and identify new goals for the annual plan. The County Coordinator will be invited to attend this Annual Plan Review along with the client, parent/guardian, DDA Case Manager and any other supports that may offer valuable input. The client will have the option of changing service providers.
- D. The client may request to participate in Community Inclusion after nine (9) months of job development services or may choose to remain in an employment services and continue looking for paid employment. Individuals requesting to participate in Community Inclusion will be referred to their DDA Case Resource Manager.

7.7 Assessing Employment Strategies & Progress Measures

The document link below, "Employment: Strategies and Progress/Outcome Measures" will be used by the County and DDA Case Resource Managers in assessing progress of client services.

[Employment: Strategies and Progress/Outcome Measures](#)

The County recommends this document as a tool for Contractors to use in training staff, developing service strategies, and documenting client progress.

7.8 Individualized Employment Plan

Each client's Individualized Employment Plan will include:

- 1. Current Date
- 2. Timeline for the plan
- 3. Client's name first and last
- 4. Client ADSA ID
- 5. Employment Goal(s):
 - a. Preferred job type
 - b. The preferred wages/salary the individual wishes to earn; or the going rate for the job type.
 - c. The number of hours the individual prefers to work

- d. The agreed upon timeline to achieve the employment goal.
6. The individual's skills, gifts, preferred activities, and interests.
7. Measurable strategies and timelines (action steps and supports) to meet the employment goal.
8. Identification of other persons and/or entities available to assist in reaching employment goals. (such as family member, Division of Vocational Rehabilitation)
9. Identification of other accommodations, adaptive equipment or supports critical to achieve employment goal.
10. The client and/or guardian's signature on the plan.

The Contractor should clearly identify and communicate to the individual and planning team action steps, activities, realistic expectations, and strategies associated with implementing the plan and achieving employment goals, including defined responsibilities of the individual/guardian and the Contractor.

The Contractor will seek out competitive employment at minimum wage or higher for the client. A professional resume, video resume, cover letter or portfolio may be created to assist the client in reaching the goal of competitive employment. Contractors will look for jobs that have the potential for growth in hours and in pay.

If Contractor develops volunteer opportunities for clients to prepare for long-term employment and to explore different job tasks/sites, there must be evidence that the volunteer opportunities comply with U.S. Department of Labor standards and applicable State standards.

7.9 Community Inclusion

The individual's Community Inclusion plan is the driver of service for those individuals 62+ and retired by choice, or by exception through DDA and should include the following elements:

1. Current Date
2. Timeline for the plan
3. Client's name first and last
4. Client ADSA ID
5. The participant's skills, interests, and preferred activities.
6. Per the County Guidelines, the Community Inclusion goal must relate to one or more of the following:
 - a. Identify integrated community places where the individual's interests, culture, talents, hobbies, and gifts can be shared with others with similar interest.
 - b. Identify typical community clubs, associations, and organizations where the individual may have opportunities to contribute, be a member and participate in decision making.
 - c. Identify opportunities where the individual may contribute to the community doing new and interesting things or things the individual enjoys.
 - d. Create opportunities for the participant to build and strengthen relationships with members of the local community who are not paid to be with the person.

7. The Support Intensity Scale (SIS) subscale that most relates to the goal (Community living, Lifelong learning, Employment, Health & Safety, Social, and Protection and Advocacy).
8. Measurable strategies and timelines (action steps and supports) to meet the goal.
9. Identification of persons or entities available to assist the individual in reaching his/her long-term goals.
10. Identification of other accommodations, adaptive equipment, electronic supports, and conditions critical to achieve the goal.
11. The client/guardian's signature on the plan.

If the Contractor develops volunteer opportunities for clients to engage in to build community relationships and participate in integrated community activities, there must be evidence that the volunteer opportunities comply with U.S. Department of Labor standards and applicable State standards.

7.10 Informed Choice

The Individual Plan will follow "informed choice principles." Principles of informed choice include:

1. Choices are made based on the provision of accurate information
2. More than one option relevant to the individual's interests and needs is offered
3. Sufficient experience is acquired to inform decision-making
4. Counsel and support are provided to individuals to gather and understand information and options
5. Decisions are honored once they are made
6. Supports and services are provided that reflect the decisions made

Opportunity for job placement change should be given to participants receiving employment services. Opportunity to self-direct services should be given to participants receiving Community Inclusion services.

All clients who communicate to the Contractor that he/she are no longer interested in receiving the authorized service will be referred to his/her DDA Case Resource Manager.

7.11 Staffing Levels

The Contractor will ensure that staffing levels and training interventions occur at a level that meets the needs of clients and are designed to achieve the goals outlined in the clients' Individual Plans. Ongoing training and support by the Contractor for the benefit of the client and at the employers' request will take place. This may include training and supervision, job modification, transportation training and assistance, or any of a wide variety of services that lead to paid employment, community contribution, and an expansion of natural supports for that client.

7.12 Other Services/Supports

The Contractor will support clients as needed in appropriate social behavior, self-advocacy, communication, and specific job skills as essential components to success in the workplace

and the community. Volunteer opportunities developed by the Contractor must comply with U.S. Department of Labor and State standards.

7.13 Self-Employment

State-adopted self-employment guidelines are followed for any individual who owns and operates a business. At a minimum, any self-employment venture must include a business plan, established benchmarks for financial gain, and show that progress is being made towards providing a living wage.

State guidelines may be found at [Washington State DDA Self-Employment Policy Guidelines](#)

7.14 DVR & Social Services Incentives

The Contractor will assess client eligibility for and, for those eligible clients, utilize the programs listed below:

1. DSHS Division of Vocational Rehabilitation (DVR)
2. Department of Services for the Blind (DSB) funding
3. Social Security work incentive programs (Plans for Achieving Self Support (PASS), Impairment-Related Work Expense (IRWE))

The Contractor will not use these resources to duplicate services paid through County funds.

7.15 Transportation

The Contractor will demonstrate an increase of training around and client use of alternative transportation, including the use of public transportation. It is the expectation of the County that the Contractor assist the participant in the arrangement of transportation for the purpose of pursuing or maintaining employment or for the purpose of participating in community inclusion activities. Transporting clients is not required and may not be a billable activity under the County agreement.

7.16 Documentation

A. Documentation of Client Support :

The Contractor will ensure that all hours of staff support billed to the County will have clear, dated documentation showing daily logs of staff activity and any other data relevant to the billed unit, such as name of business contacted and contact person spoken to. All documentation, including staff case notes, must relate to the client's individual pathway to employment or community inclusion plan and the billable phase they are recorded under. These records should be available to the County for review upon request within 24 hours of the request being made.

The Contractor will ensure that a program manager or other responsible agency staff reviews these documentation processes. Hours of service should be logged by staff to the nearest quarter hour and should specify the billable phase that the participant is working in; Intake, Discovery, Assessment, Marketing/Job Development, Job Coaching/Job Support, Retention, Record Keeping (without client present and not to exceed 2 hours per month) and other types of activity related to the participant's service.

B. Documentation of Client Work Hours and Wages (*Employment Services Only*):

The Contractor must be able to document proof of employment for individuals reported as being employed, available to the County for review upon request.

The Contractor will ensure that client wages are based on the accepted, industry-relevant norm, as determined by the Washington State Department of Labor and Industries and U.S. Department of Labor.

Senate Bill 5763 was signed by Governor Inslee in March of 2022 eliminating sub prevailing wage certificate for individuals with disabilities. Repealing RCW 36.12.022

C. Documentation of Client Progress (*Employment Services Only*):

The Contractor must ensure that a record of client progress, including the following, is available:

- Job placement and retention rates are tracked for each participant.
- Evaluation of progress in achieving increased wages and work hours for each participant.
- Information about wages, productivity, benefits and work hours for each participant.
- The Contractor will provide a monthly employment outcomes report and/or job gains and losses report to the County Coordinator to reflect new clients, employment changes, or benefits changes.

8.0 ORGANIZATIONAL REQUIREMENTS

8.1 Board of Directors

- A. The Contractor, if it has a board of directors, will include members who are knowledgeable about developmental disabilities, who understand their responsibilities as board members, and who are able to give guidance and direction to the legal, fiscal, and programmatic aspects of program activities.
- B. The Board's membership roster, copies of the by-laws, and meeting minutes will be available for review.
- C. The Board will approve the agency's annual budget and will provide Board oversight of fiscal operations.
- D. The Contractor is expected to have a policy to guide their Board of Directors to safeguard against conflicts of interests.

8.2 Administration

- A. The Contractor will maintain current organizational charts describing administrative lines of authority with the position titles of program staff.
- B. The Contractor will maintain a job description for each position within the organization detailing duties, responsibilities, and necessary qualifications.

- C. The Contractor will have a written mission statement.
- D. An appropriate Contractor representative will participate in meetings scheduled by the County concerning County, State, and Federal requirements.
- E. The Contractor will have on file all appropriate certificates and licenses for the contracting agency to operate as required by Federal, State, or local law, rule, or regulation.
- F. The Contractor will demonstrate the ability to safeguard public funds, including maintaining books, records, documents, and other materials relevant to the provision of goods and services in accordance with the Generally Accepted Accounting Principles (GAAP).

8.3 Performance Plan

The Contractor will develop a written performance plan that describes its mission, program objectives, goal outcomes, and strategies relevant to the County Guidelines and the provision of services under contract with the County. The plan shall be evaluated at least biennially and revised based on actual performance.

8.4 Continued Qualification

In line with Policy 6.13 *Provider Qualifications for Employment and Day Program Services*, the Contractor must maintain their status as a qualified provider through the following means:

- A. Develop and implement a plan for each client based on their individual needs. The plan must include all information required by the [Criteria for Evaluation](#).
- B. Provide services in accordance with the [County Guide to Achieve DDA Guiding Values](#)
- C. Develop and implement internal control policies.
- D. Develop and implement an employee training plan for all applicable service categories approved by the county.
- E. Manage public funds in compliance with Generally Accepted Accounting Principles (GAAP).
- F. Submit Certified Public Accountant reviewed or audited financial statements and federal audits according to the DSHS General Terms and Conditions. Refer to the Criteria for Evaluation for mor information.
- G. Maintain a management system that provides for systematic filing, and retention of timely records and reports related to:
 - i. Clients
 - ii. Staff
 - iii. The agency's tax status
 - iv. The agency's structure, capabilities, and performance as described in the Criteria of Evaluation.
- H. Develop a plan to address potential conflicts on interest including, but not limited to, if the agency or an agency employee is also the client's:
 - i. Guardian or legal representative
 - ii. Residential provider, or

- iii. Family member or decision maker
- I. Develop a performance plan that describes objectives, expected outcomes, and how and when objectives will be accomplished. The performance plan must include performance indicators that address diversity, equity and inclusion efforts.

If Contractor can no longer meet any one of the above requirements the County will be notified within ten (10) business days.

8.5 Employment Service Provider Qualifications

To be a qualified provider of employment services, an agency must:

1. Implement current supported employment best practices;
2. Employ at least one person who:
 - a. Has at least two years of experience related to the employment services the agency provides or in planning to provide to DDA clients;
 - b. Has an Employment Professional Certificate from Highline Community College and one year of experience related to the employment services the agency provides or in planning to provide to DDA clients; OR
 - c. Is a WISE Certified Employment Support Professional (CESP) and has at least one year of experience related to the employment services the agency provides or is planning to provide to DDA client.
3. Employ staff who have the following skills:
 - a. Developing, obtaining and maintaining community-based employment options that offer minimum wage compensation or greater;
 - b. Conducting discovery assessments;
 - c. Assisting client with goal and career planning;
 - d. Marketing to employers;
 - e. Assisting client with job preparation;
 - f. Developing jobs;
 - g. Completing workplace and job analysis;
 - h. Job coaching, which may include task design and training, support strategies, and developing natural support; and
 - i. Documenting goals and writing reports.
4. Have a contract with the DSHS Division of Vocational Rehabilitation (DVR) for employment services, which requires the providers to satisfy one of the following:
 - a. Meet Rehabilitation Services Accreditation System (RSAS) or Commission on Accreditation Rehabilitation Facilities (CARF) accreditation standards; or
 - b. Require all employees to be Association of Community Rehabilitation Educators (ACRE) accredited.
5. Comply with DDA and DVR [Memorandum of Understanding](#), which describes the continuum of services and supports available.

6. Create a biennial performance plan to document the agency's progress over time. The performance plan must include, for each acuity level, the following client data:
 - a. Number of new jobs
 - b. Number of jobs lost and reason for job loss
 - c. Percentage of clients employed earning minimum wage or higher; and
 - d. Average number of hours worked by each client supported by agency.

8.6 Community Inclusion Provider Qualifications

To be a qualified provider of Community Inclusion services, an agency must:

1. Implement Community Inclusion as described in the [Community Inclusion Frequently Asked Questions](#)
2. Create a performance plan that includes measurable goals for documenting the agency's progress over time
3. Serve clients in integrated settings that support the client's connection to other members of the community who are not paid to be with the client and ability to contribute to their community
4. Employ at least one person who:
 - a. Has experience providing services in an integrated community setting that supports the client to contribute to their community;
 - b. Has at least two years of experience related to the Community Inclusion Services the agency provides to DDA clients;
 - c. Understand current Community Inclusion practices, as described in the Community Inclusion FAQ, and is able to train direct support staff to implement those best practices.
5. Employ staff who know how to:
 - a. Conduct discovery assessments;
 - b. Assist a client with goal and career planning;
 - c. Conduct community analysis to identify places and resources available in the community;
 - d. Develop opportunities for client to connect with the community;
 - e. Coach, which includes task design and training, support strategies, and developing natural supports; and
 - f. Document goals and write reports.
6. Provide ongoing Community Inclusion training to the agency staff.

9.0 STAFF TRAINING & QUALIFICATIONS

9.1 Staff Qualifications

At a minimum, Contractor staff should meet the provider qualifications outlined in DSHS/DDA Policy 6.13, *Provider Qualifications for Employment and Day Program Services*.

All Agency Employees must:

1. Be age 18 or older

2. Clear a criminal history background check under chapter 388.825 WAC; and
3. Complete training outlined below

9.2 Staff Training

New employees providing direct services to individuals with developmental disabilities must be 18 years or older and receive basic orientation to and training in client services to ensure that employees meet the qualifications specified in DSHS/DDA Policy 6.13.

Documentation of staff orientation and training including all training requirements outlined in Policy 6.13 must be documented in the personnel file. The Contractor should maintain an up-to-date record of training for all employees. A summary of the training requirements and timelines within Policy 6.13 is outlined below. Any future amendments or modifications to the policy take precedent.

Policy and procedure manuals providing sufficient guidance when, and if, staffing changes or absences occur are present and readily available.

Policies exist to ensure that qualifying incidents are reported to DSHS in compliance with DDA Policy 5.13, *Protection from Abuse: Mandatory Reporting*.

- A.** Prior to working with clients unsupervised, staff must have knowledge of and complete training in the following areas:
 1. Client confidentiality
 2. Current work and support plans for each client with whom the employee works
 3. DDA Policy 5.06, *Client Rights*
 4. DDA Policy 6.08, *Incident Management and Reporting Requirements for County and County-Contracted Providers* (DDA Policy 6.08 verification statement must be signed and kept in the employee file).
 5. DDA Policy 4.11, *County Services for Working Age Adults*
 6. First Aid, Blood Borne Pathogens and CPR (current certification is required)
- B.** Within one month of employment employees must have received training in the following:
 - i. DDA Policy 5.14, *Policy Behavior Supports for Adults*
 - ii. DDA Policy 5.15, *Restrictive Procedures*
 - iii. DDA Policy 5.17, *Physical Intervention Techniques*
 - iv. DDA Policy 5.19, *Positive Behavior Support for Children and Youth* as applicable
 - v. DDA Policy 5.20, *Restrictive Procedures and Physical Interventions with Children and Youth*, as applicable
 - vi. DDA Policy 5.23, *Functional Assessments and Positive Behavior Support Plans: Employment and Day*
- C.** DDA Policies listed above in must be reviewed at least annually and when updated.

D. Continuing education and staff evaluation: In addition to the above DDA requirements, it is the County's expectation that each contractor have an established procedure for orienting, training, mentoring and providing ongoing evaluation to staff related to:

1. Values that support the abilities of individuals as outlined in the County Guidelines
2. Effective communication skills (i.e., the ability to listen carefully and to make oneself understood)
3. Planning methods
4. Program skill development includes training to ensure support to clients in the specific program area identified in their Individual Plans (e.g., task/job analysis, systematic instruction, natural supports, fading from sites, job modification, etc.)

The Contractor will ensure that staff members who work directly with clients receive a minimum of 15 hours of continuing education opportunities annually. Attendance at one DDA or DVR training annually will be expected as a contribution to the 15 hours. The training record for each staff must be in employee's file and provided to the County upon request.

9.3 Training Reimbursement

All training reimbursement is at the discretion of the County and is dependent upon funding availability. In accordance with annual budget changes, County may give each agency a flat amount if County finds this more equitable for all contracted providers.

Requests for training reimbursement related to County-recommended trainings or other trainings designed to improve the quality of services to individuals, may be made in writing to the County at least ten (10) business days prior to the training event. Requests should clearly outline the training requested, dates of training and travel, and the number of staff attending. Mileage, food purchases, and lodging may not exceed the Federal per diem/rate allowance. Reimbursement for training requests will require back-up documentation and receipts.

10.0 BASIS FOR CLIENT SERVICE LEVEL

10.1 Basis for Client Service Authorization: Individual Employment

Service levels for Individual Employment and Community Inclusion Services are mutually determined between DSHS/DDA, the County, and the Contractor based on the following factors:

A. Employment Acuity (High, Medium, Low) as determined by the DSHS/DDA assessment.

Employment Acuity	Typical Client Characteristics
	Clients with low employment support needs are generally independent in the community. The client is able to communicate with others effectively and can maintain personal health and safety most of the time without supervision. The

Employment Acuity	Typical Client Characteristics
Low	client may be able to independently transport self in the community and does not require physical assistance in community activities. The client is able to perform most tasks with minimal or occasional monitoring or prompting.
Medium	Clients with medium employment support needs can be independent in the community some of the time but often need supervision, training, or partial physical assistance when engaged in certain community activities. The client may need regular monitoring or prompting to perform most tasks. The client experiences challenges in employment situations perhaps due to communication difficulties, interpersonal skills, or limited mobility.
High	Clients with high employment support needs require frequent supervision, training, or full physical assistance with community activities all or almost all the time. The client experiences significant barriers to employment and often needs another person physically present to assist him/her with personal care needs, to ensure the client's or others' health and safety, and/or typically requires direct oversight to ensure performance of most tasks in an employment setting with acceptable accuracy and/or speed.

- B. Work history and/or support needs specific to the job or service site. This may include, but is not limited to:
- Client's work schedule and hours (How many hours or shifts does the individual work?)
 - Client's work history and job stability (Is it a new job or a job they have held for a long time?)
 - Availability of natural supports at the work site (Are unpaid supports such as co-workers present?)
- C. Other factors which impact the client's ability to participate in services such as health limitations or transportation barriers.
- D. The limits and requirements set for employment service levels by Washington Administrative Code (WAC) 388-828-9325 through 9360.
- E. An Exception to Rule (ETR) request may be used when a participant needs additional hours in a paid employment situation and should be sent to the County and the DDA CRM for approval. The Contractor must document specifically how the additional hours will be used to support the client's individual employment goals and include a plan for fading.

- F. The agency adheres to the Medicaid HCBS setting requirements of 42CFR441.530(a)(1) including ensuring integration into the greater community and supports individuals to have full access to the greater community.
- G. The agency ensures individuals receive the same degree of access to community services as individuals not receiving Medicaid HCBS
- H. Agency setting provides opportunities to seek employment and work in competitive, integrated settings.
- I. The agency setting facilitates individual choice regarding services and supports, and who provide them.
- J. When possible, the Contractor identifies settings that isolate people from the broader community or that have the effect of isolating individuals from the broader community and avoids seeking employment in those settings.
- K. For individual employment where the service provider is also the client's employer, long-term funding will remain available to the service provider employer for six months after the client's date of hire. At the end of the six month period, if the DDA client continues to need support on the job, another service provider who is not the employer of record must provide the support unless the County issues prior written approval for the service provider to continue to provide long-term supports if needed.

10.2 Basis for Client Services Authorization: Group Supported Employment

- A. Group Supported Employment (GSE) reflects shared support at a worksite. Service level to the individual client may vary depending on staffing ratios, the acuity of individuals served, and the number of work hours available within the worksite.
- B. An authorized monthly GSE service level is assigned to each client that reflects the estimated portion of shared support received by the client in this setting. Authorization is based on the client's employment acuity (high, medium, low) and scheduled work hours.
- C. Additional individualized community support hours may be authorized to make progress toward the individual's community employment goals. The monthly GSE authorization added to the community support authorization will equal the client's total monthly service authorization. The maximum support hours authorized may not exceed the limits and requirements set for employment service levels by Washington Administrative Code (WAC) 388-828-9325 through 9360. See: <http://apps.leg.wa.gov/wac/default.aspx?cite=388-828-9325>
- D. The client's assigned GSE support hours are billable as long as:
- GSE site hours are documented for the client
 - The collective GSE support provided equals or exceeds the collective support authorized.

If the total staff hours provided across all clients in the GSE setting is less than the collective hours authorized the Contractor will be reimbursed only for the number of staff hours provided.

10.3 Basis of Client Service Authorization: Community Inclusion

- A. The maximum number of monthly Community Inclusion support hours for each client is determined by the DDA assessment as outlined in WAC 388-828-9300 and 9310.
- B. The following chart provides guidance for authorized service levels in line with WAC requirements.

Assessed CA Service Level	Support Intensity Scale Score	Monthly Authorization
A	0-9%	Up to 3 hrs.
B	10-19%	Up to 6 hrs.
C	20-29%	Up to 9 hrs.
D	30-44%	Up to 12 hrs.
E	45-59%	Up to 15 hrs.
F	60-74%	Up to 18 hrs.
G	75-100%	Up to 20 hrs.

- C. Clients may be authorized for service hours below those established in WAC with agreement from the client, County, DDA Case Resource Manager and Contractor. The client may request an increase to the maximum authorized through WAC at any time.
- D. Service hours above those established in WAC must be approved by DDA and the County through an Exception to Rule (ETR) process. Contractor must show substantial evidence for the need for an ETR and submit the request to the County Coordinator and the client's Case Manager.
- E. Services occur individually or in a small group (no more than 2-3 clients) with similar interests and needs.
- F. When clients are served in small groups (no more than 2-3) based on similar interests, staff support hours billed to the County will be divided equally amongst clients served (i.e. 2 clients supported at the same time for 2 hours by a single staff would each receive 1 billable service hour).
- G. Services may only be provided in small groups when clients have similar interests and goals which are documented within the individualized Community Inclusion plan. Services should typically be provided in age-appropriate community settings.
- H. Services focus on activities typically experienced by the general public.

- I. Clients do not receive employment services simultaneously (except PASRR).
- J. The Contractor will look for settings that are not isolating to the participant and whenever possible increase the participant's interaction with the community.
- K. Clients may choose to leave CI service at any time to pursue work and receive individual employment services.

10.4 County Service Authorization

- A. The County will not reimburse for services provided prior to service authorization, or after service termination.
- B. County Service Authorization (CSA) must be finalized for each client for whom the Contractor intends to submit a billing to the County.
- C. A complete and valid County Service Authorization includes; agreement from the Contractor, approval and signature from the County, and final electronic authorization (including effective date) by the DSHS/DDA Case Resource Manager through the Case Manager Information System (CMIS).
- D. The Contractor will clearly communicate to the client and the County prior to beginning service or prior to an expected change in the maximum service hours per month. Service changes which require amendment of the PCSP will not occur until the client has received proper notification through DDA.
- E. The amount of service the client receives should not exceed the maximum documented in the client's Person Centered Service Plan (PCSP) with DSHS/DDA.
- F. The County is responsible for requesting the CSA from the DSHS/DDA Case/Resource Manager. The DSHS/DDA Case Resource/Manager is responsible for authorizing the service requested and generating the County Service Authorization.
- G. If the service request is initiated by the Contractor, DDA/County will need the following information:
 - 1. Verify completion or status of Division of Vocational Rehabilitation (DVR) services
 - 2. Proposed service category
 - 3. Work and wage information for clients who are in Individual Employment when employed
 - 4. Proposed monthly service level requested to support the individual on the job or service site.
 - 5. Proposed effective date of authorization.
- H. The current County Service Authorization (CSA) is suspended in the event that the client is hospitalized, institutionalized or admitted to a skilled nursing facility. Services occurring after the date of admission to these facilities require prior approval from the

DDA Case Resource/Manager and may require a new CSA. Upon discharge, the provider is responsible for verifying funding authorization and availability with the County prior to the continuation of services.

11.0 SERVICE CHANGE PROCEDURES

The Contractor is required to keep the client's Case Resource Manager and the County Coordinator informed of any major changes in the client's program or support needs.

11.1 Service Change Form

The Contractor must complete the County's "*CSA Request/Change Form*" each time the Contractor is requesting client service changes related to:

- Authorized service hours
- Program type: Individual Employment, Group Supported Employment, Community Inclusion
- Service termination

Services changes must be approved by DDA and the County prior to implementation.

11.2 Communication of Service Levels to the Client

Prior to beginning service or an expected change in the monthly service hours, the Contractor will clearly communicate to the client/guardian what the client can expect to receive.

Although service minimums are no longer communicated within the Person Centered Service Plan (PCSP) the County recommends communicating the typical range of monthly support hours (not to exceed the maximum authorized) in the client's Individual Employment or Community Inclusion plan.

11.3 Exceptional Service Level Requests

For clients whose service needs require an Exception to Rule (ETR), an CSA Request/Change Form must be completed. All exceptional funding requests must be approved by the County, the DDA Case Manager and DDA regional staff as assigned. The Contractor must document specifically how the additional hours will be used to support the client's individual employment goals.

11.4 Deadline for Service Change Requests

The request for service changes must be received by the County and CRM by the 10th of the month prior to the proposed effective date of the changes requested. (i.e. if a service change is requested to be effective for January 1, the service change form should be provided to the County no later than December 10th). However, if an emergent need occurs (i.e. potential job loss), please notify the County and the CRM immediately.

11.5 Individualized Technical Assistance

If the Contractor needs additional technical assistance to ensure progress toward the individual's employment goals Technical Assistance (TA) may be available.

The Contractor may request services (communication consultation, behavioral support, etc.) to address service barriers for a County-authorized client; the Contractor should contact the

County to request assistance. Services must be pre-authorized by the County and DDA Case Manager and are dependent upon funding availability.

11.6 Subcontractors

Agencies contracted with the County may not subcontract for services with the exception of Technical Assistance providers.

12.0 OUTCOMES

The Contractor will track and make measurable progress related to the key quality indicators as outlined below:

A. Individual Employment

1. The Contractor shall demonstrate an increase in the number of participants employed in community setting.
2. The Contractor shall demonstrate an increase in the number of participants who are employed in community settings over eighty (80) hours a month. The desired program outcome for employment services is an average of 20 hours/week or 86 hours a month of work.
3. The Contractor shall demonstrate an increase in the monthly earnings for participants.

B. Community Inclusion Services

1. Increase in the number of reciprocal relationships developed by clients with persons other than paid staff.
2. Increase in the client's participation in a variety of typical community venues based on personal preferences. If personal preference is uncertain then at a location where the participant feels safe, is stimulated, and has the option to interact with others in mutually beneficial ways.

13.0 MONITORING & EVALUATION

The County will develop a contract monitoring and evaluation system incorporating the most recent Criteria for Evaluation System provided by DDA, which may be found on the DSHS/DDA website listed below:

<https://www.dshs.wa.gov/dda/county-best-practices>

The County shall conduct at least one on-site audit to each Contractor during each State DSHS/DDA biennium and will prepare a contract compliance report to respond to strengths and potential need for corrective action.

13.1 Access to Records

The County may request reasonable access to the Contractor's records and place of business for the purpose of monitoring, auditing, and evaluating the Contractor's compliance with the Agreement and applicable laws and regulations. The Contractor will, upon receiving reasonable written notice, provide the County with access to its place of business and to its records that are relevant to its compliance with the Agreement and applicable laws and regulations.

The Contractor must also have documentation that they are able to account for and manage public funds in compliance with Generally Accepted Accounting Principles (GAAP).

13.2 Corrective Action

If agency in out of compliance with their contract, the agency must correct each issue by a date agreed upon by both parties.

If an agency fails to correct identified issues, or is out of compliance with their contract or subcontract, DDA or the county may:

1. Switch the agency to a provisional contract; or
2. Terminate the agency's contract.

13.3 Extended Records Retention Timeline

During the term of the Agreement and for six (6) years after termination of the Agreement, the parties shall maintain records sufficient to:

1. Document performance under the expectations of contract, implementation guide, and County Guidelines
2. Demonstrate accounting procedures, practices, and records that sufficiently and properly document all invoices, expenditures, and payments

In the event of litigation, unresolved audits, and/or unresolved claims, the Contractor agrees to retain all records, reports, and other documentation until such claims are resolved.

14.0 NON-COMPLIANCE

In the event the Contractor fails to comply with any of the terms and conditions of this contract and that failure results in a contract overpayment, the County shall recover the amount due to the County. In the case of overpayments, the Contractor shall cooperate in the recoupment process and return the amount due to the County.

15.0 NO ACTIVE DEBARMENT

Agency must have no active debarment certification.

**COUNTY IMPLEMENTATION GUIDE, Attachment A
INCIDENT REPORTING TIMELINES**

<p style="text-align: center;">One Hour Protocol</p> <p>Phone call to regional office within one hour followed by written notification within one business day</p>	<p style="text-align: center;">One Day Protocol</p> <p>Written notification within one business day</p>
<ol style="list-style-type: none"> 1. Alleged or suspected sexual abuse of a client. 2. Missing client 3. Choking – Client chokes on food, liquid, or object during county or county contracted services and required intervention regardless of outcome. Refer to your CPR and first aid training. 4. Client arrested 5. Death of a client during county or county-contracted services 6. Injuries requiring hospital admission 7. Life threatening, medically emergent condition 8. Natural disaster or environmental condition threatening client safety or program operation 9. Suicide 10. Suicide Attempt 	<ol style="list-style-type: none"> 1. Alleged or suspected abuse, improper use of restraint, neglect, self-neglect, personal or financial exploitation, or abandonment of a client 2. Alleged or suspected criminal activity by a client 3. Alleged or suspected criminal activity perpetrated against a client 4. Awareness that a client or the client’s legal representative is contemplating permanent sterilization procedures 5. Client to client abuse 6. Hospital or nursing facility admission 7. Injuries to a client: resulting from the use of restrictive procedures or physical intervention techniques; when there is reason to suspect abuse or neglect; that are serious and require professional medical attention; or that are of an unknown origin and cause suspicion of abuse or neglect 8. Medication or nurse delegation errors 9. Mental health crisis resulting in inpatient admission to a state or local community hospital or psychiatric hospital or evaluation and treatment center. 10. Property Damage of \$250 or more 11. Restrictive Procedure implemented under emergency guidelines 12. Serious treatment or court order violations

COUNTY IMPLEMENTATION GUIDE ATTACHMENT B
CHAPTER 6 DDA Policy 6.08

**Incident Management and Reporting Requirements for County and County-Contracted
Provider**

This policy establishes uniform reporting requirements and procedures for county and county contracted providers regarding incidents that involve clients enrolled with the Developmental Disabilities Administration (DDA). This policy also addresses reporting allegations of suspected abuse, improper use of restraint, neglect, self-neglect, personal or financial exploitation, abandonment, and mistreatment.

Clients must be treated with kindness, respect, care, and consideration at all times. Abandonment, abuse, neglect, improper use of restraint, personal and financial exploitation are not permitted under any circumstances.

I have read DDA Policy 6.08, Incident Management and reporting Requirements for County and County-Contracted, in its entirety and understand:

- ☐ The definitions found in Attachment A of Policy 6.08;
- ☐ My legal requirement as a mandatory reporter to report abuse, improper use of restraint, neglect, personal or financial exploitation, or abandonment of a client;
- ☐ How to report abuse, improper use of restraint, neglect, personal or financial exploitation, or abandonment of a client, including incident reporting procedures;
- ☐ Failure to report can result in disciplinary action and may result in termination of the provider's contract. Furthermore, failure to report is a gross misdemeanor under RCW 74.34.053. Any provider employee, contractor, or volunteer found to have knowingly failed to fulfill their mandatory reporting obligation will be reported to the appropriate law enforcement agency and may be prosecuted.; and
- ☐ My responsibilities to protect clients and other vulnerable adults and children from abuse, improper use of restraint, neglect, personal or financial exploitation, or abandonment.

I also acknowledge that I have had an opportunity to ask questions of my supervisor regarding this policy and have had those questions answered.

PRINT EMPLOYEE LEGAL NAME

EMPLOYEE SIGNATURE

DATE

PRINT WITNESS LEGAL NAME

WITNESS SIGNATURE

DATE

COUNTY IMPLEMENTATION GUIDE ATTACHMENT C
Data Security Requirements

- 1. Definitions. The words and phrases listed below, as used in this Exhibit, shall each have the following definitions:**
- A. “AES” means the Advanced Encryption Standard, a specification of Federal Information Processing Standards Publications for the encryption of electronic data issued by the National Institute of Standards and Technology
 - B. “Authorized Users(s)” means an individual or individuals with a business need to access DSHS Confidential Information, and who has or have been authorized to do so.
 - C. “Category 4 Data” is data that is confidential and requires special handling due to statutes or regulations that require especially strict protection of the data and from which especially serious consequences may arise in the event of any compromise of such data. For purposes of this contract, data classified as Category 4 refers to data protected by: the Health Insurance Portability and Accountability Act (HIPAA).
 - D. “Cloud” means data storage on servers hosted by an entity other than the Contractor and on a network outside the control of the Contractor. Physical storage of data in the cloud typically spans multiple servers and often multiple locations. Cloud storage can be divided between consumer grade storage for personal files and enterprise grade for companies and governmental entities. Examples of consumer grade storage would include iCloud, Dropbox, Box.com, and many other entities. Enterprise cloud vendors include Microsoft Azure, Amazon Web Services, O365, and Rackspace.
 - E. “Encrypt” means to encode Confidential Information into a format that can only be read by those possessing a “key”; a password, digital certificate or other mechanism available only to authorized users. Encryption must use a key length of at least 128 bits (256 preferred) for symmetric keys, or 2048 bits for asymmetric keys. When a symmetric key is used, the Advanced Encryption Standard (AES) must be used if available.
 - F. “Hardened Password” means a string of at least eight characters containing at least three of the following four character classes: Uppercase alphabetic, lowercase alphabetic, numeral, and special characters such as an asterisk, ampersand, or exclamation point.
 - G. “Mobile Device” means a computing device, typically smaller than a notebook,

which runs a mobile operating system, such as iOS, Android, or Windows Phone. Mobile Devices include smart phones, most tablets, and other form factors.

- H. “Multi-factor Authentication” means controlling access to computers and other IT resources by requiring two or more pieces of evidence that the user is who they claim to be. These pieces of evidence consist of something the user knows, such as a password or PIN; something the user has such as a key card, smart card, or physical token; and something the user is, a biometric identifier such as a fingerprint, facial scan, or retinal scan. “PIN” means a personal identification number, a series of numbers which act as a password for a device. Since PINs are typically only four to six characters, PINs are usually used in conjunction with another factor of authentication, such as a fingerprint.
- I. “Portable Device” means any computing device with a small form factor, designed to be transported from place to place. Portable devices are primarily battery powered devices with base computing resources in the form of a processor, memory, storage, and network access. Examples include, but are not limited to, mobile phones, tablets, and laptops. Mobile Device is a subset of Portable Device.
- J. “Portable Media” means any machine readable media that may routinely be stored or moved independently of computing devices. Examples include magnetic tapes, optical discs (CDs or DVDs), flash memory (thumb drive) devices, external hard drives, and internal hard drives that have been removed from a computing device.
- K. “Secure Area” means an area to which only authorized representatives of the entity possessing the Confidential Information have access, and access is controlled through use of a key, card key, combination lock, or comparable mechanism. Secure Areas may include buildings, rooms or locked storage containers (such as a filing cabinet or desk drawer) within a room, as long as access to the Confidential Information is not available to unauthorized personnel. In otherwise Secure Areas, such as an office with restricted access, the Data must be secured in such a way as to prevent access by non-authorized staff such as janitorial or facility security staff, when authorized Contractor staff are not present to ensure that non-authorized staff cannot access it.
- L. “Trusted Network” means a network operated and maintained by the Contractor, which includes security controls sufficient to protect DSHS Data on that network. Controls would include a firewall between any other networks, access control lists on networking devices such as routers and switches, and other such mechanisms which protect the confidentiality, integrity, and availability of the Data.
- M. “Unique User ID” means a string of characters that identifies a specific user and

which, in conjunction with a password, passphrase or other mechanism, authenticates a user to an information system.

2. **Authority.** The security requirements described in this document reflect the applicable requirements of Standard [141.10](#) of the Office of the Chief Information Officer for the state of Washington, and of the DSHS Information Security Policy and Standards Manual. Reference material related to these requirements can be found here: <https://www.dshs.wa.gov/ffa/keeping-dshs-client-information-private-and-secure>, which is a site developed by the DSHS Information Security Office and hosted by DSHS Central Contracts and Legal Services.
3. **Administrative Controls.** The Contractor must have the following controls in place:
 - A. A documented security policy governing the secure use of its computer network and systems, and which defines sanctions that may be applied to Contractor staff for violating that policy.
 - B. If the Data shared under this agreement is classified as Category 4 data, the Contractor must be aware of and compliant with the applicable legal or regulatory requirements for that Category 4 Data.
 - C. If Confidential Information shared under this agreement is classified as Category 4 data, the Contractor must have a documented risk assessment for the system(s) housing the Category 4 Data.
4. **Authorization, Authentication, and Access.** In order to ensure that access to the Data is limited to authorized staff, the Contractor must:
 - A. Have documented policies and procedures governing access to systems with the shared Data
 - B. Restrict access through administrative, physical, and technical controls to authorized staff.
 - C. Ensure that user accounts are unique and that any given user account logon ID and password combination is known only to the one employee to whom that account is assigned. For purposes of non-repudiation, it must always be possible to determine which employee performed a given action on a system housing the Data based solely on the logon ID used to perform the action
 - D. Ensure that only authorized users are capable of accessing the Data.
 - E. Ensure that an employee's access to the Data is removed immediately:
 1. Upon suspected compromise of the user credentials.
 2. When their employment, or the contract under which the Data is made available to them, is terminated.
 3. When they no longer need access to the Data to fulfill the requirements of the contract.

- F. Have a process to periodically review and verify that only authorized users have access to systems containing DSHS Confidential Information
- G. When accessing the Data from within the Contractor's network (the Data stays within the Contractor's network at all times), enforce password and logon requirements for users within the Contractor's network, including:
 - 1. A minimum length of 8 characters, and containing at least three of the following character classes: uppercase letters, lowercase letters, numerals, and special characters such as an asterisk, ampersand, or exclamation point.
 - 2. That a password does not contain a user's name, logon ID, or any form of their full name.
 - 3. That a password does not consist of a single dictionary word. A password may be formed as a passphrase which consists of multiple dictionary words.
 - 4. That passwords are significantly different from the previous four passwords. Passwords that increment by simply adding a number are not considered significantly different. \
- H. When accessing Confidential Information from an external location (the Data will traverse the Internet or otherwise travel outside the Contractor's network), mitigate risk and enforce password and logon requirements for users by employing measures including:
 - 1. Ensuring mitigations applied to the system don't allow end-user modification.
 - 2. Not allowing the use of dial-up connections.
 - 3. Using industry standard protocols and solutions for remote access. Examples would include RADIUS and Citrix.
 - 4. Encrypting all remote access traffic from the external workstation to Trusted Network or to a component within the Trusted Network. The traffic must be encrypted at all times while traversing any network, including the Internet, which is not a Trusted Network.
 - 5. Ensuring that the remote access system prompts for re-authentication or performs automated session termination after no more than 30 minutes of inactivity.
 - 6. Ensuring use of Multi-factor Authentication to connect from the external end point to the internal end point.
- I. Passwords or PIN codes may meet a lesser standard if used in conjunction with

another authentication mechanism, such as a biometric (fingerprint, face recognition, iris scan) or token (software, hardware, smart card, etc.) in that case:

1. (1) The PIN or password must be at least 5 letters or numbers when used in conjunction with at least one other authentication factor
 2. (2) Must not be comprised of all the same letter or number (11111, 22222, aaaaa, would not be acceptable)
 3. (3) Must not contain a “run” of three or more consecutive numbers (12398, 98743 would not be acceptable)
- J. If the contract specifically allows for the storage of Confidential Information on a Mobile Device, passcodes used on the device must:
1. Be a minimum of six alphanumeric characters.
 2. Contain at least three unique character classes (upper case, lower case, letter, number).
 3. Not contain more than a three consecutive character run. Passcodes consisting of 12345, or abcd12 would not be acceptable.
- K. Render the device unusable after a maximum of 10 failed logon attempts

5. Protection of Data. The Contractor agrees to store Data on one or more of the following media and protect the Data as described.:

- A. Hard disk drives. For Data stored on local workstation hard disks, access to the Data will be restricted to Authorized User(s) by requiring logon to the local workstation using a Unique User ID and Hardened Password or other authentication mechanisms, which provide equal or greater security, such as biometrics or smart cards.
- B. Network server disks. For Data stored on hard disks mounted on network servers and made available through shared folders, access to the Data will be restricted to Authorized Users through the use of access control lists which will grant access only after the Authorized User has authenticated to the network using a Unique User ID and Hardened Password or other authentication mechanisms which provide equal or greater security, such as biometrics or smart cards. Data on disks mounted to such servers must be located in an area, which is accessible only to authorized personnel, with access controlled through use of a key, card key, combination lock, or comparable mechanism.

For DSHS Confidential Information stored on these disks, deleting unneeded Data is sufficient as long as the disks remain in a Secure Area and otherwise meet the requirements listed in the above paragraph. Destruction of the Data, as outlined below in Section 8 Data Disposition, may be deferred until the disks are retired, replaced, or otherwise taken out of the Secure Area.

- C. Optical discs (CDs or DVDs) in local workstation optical disc drives. Data provided by DSHS on optical discs which will be used in local workstation optical disc drives and which will not be transported out of a Secure Area. When not in use for the contracted purpose, such discs must be Stored in a Secure Area. Workstations which access DSHS Data on optical discs must be located in an area which is accessible only to authorized personnel, with access controlled through use of a key, card key, combination lock, or comparable mechanism
- D. Optical discs (CDs or DVDs) in drives or jukeboxes attached to servers. Data provided by DSHS on optical discs which will be attached to network servers and which will not be transported out of a Secure Area. Access to Data on these discs will be restricted to Authorized Users through the use of access control lists which will grant access only after the Authorized User has authenticated to the network using a Unique User ID and Hardened Password or other authentication mechanisms which provide equal or greater security, such as biometrics or smart cards. Data on discs attached to such servers must be located in an area, which is accessible only to authorized personnel, with access controlled through use of a key, card key, combination lock, or comparable mechanism.
- E. Paper documents. Any paper records must be protected by storing the records in a Secure Area, which is only accessible to authorized personnel. When not in use, such records must be stored in a Secure Area.
- F. Remote Access. Access to and use of the Data over the State Governmental Network (SGN) or Secure Access Washington (SAW) will be controlled by DSHS staff who will issue authentication credentials (e.g. a Unique User ID and Hardened Password) to Authorized Users on Contractor's staff. Contractor will notify DSHS staff immediately whenever an Authorized User in possession of such credentials is terminated or otherwise leaves the employ of the Contractor, and whenever an Authorized User's duties change such that the Authorized User no longer requires access to perform work for this Contract.
- G. Data storage on portable devices or media.
 - 1. Except where otherwise specified herein, DSHS Data shall not be stored by the Contractor on portable devices or media unless specifically authorized within the terms and conditions of the Contract. If so authorized, the Data shall be given the following protections::
 - a. Encrypt the Data.
 - b. Control access to devices with a Unique User ID and Hardened Password or stronger authentication method such as a physical token or biometrics.
 - c. Manually lock devices whenever they are left unattended and set devices to lock automatically after a period of inactivity, if this feature is available.

Maximum period of inactivity is 20 minutes.

- d. Apply administrative and physical security controls to Portable Devices and Portable Media by:
 - i. Keeping them in a Secure Area when not in use,
 - ii. Using check-in/check-out procedures when they are shared, and
 - iii. Taking frequent inventories. Manually lock devices whenever they are left unattended and set devices to lock automatically after a period of inactivity, if this feature is available. Maximum period of inactivity is 20 minutes.
2. When being transported outside of a Secure Area, Portable Devices and Portable Media with DSHS Confidential Information must be under the physical control of Contractor staff with authorization to access the Data, even if the Data is encrypted.

Physically Secure the portable device(s) and/or media by

- a. Keeping them in locked storage when not in use
- b. Using check-in/check-out procedures when they are shared, and
- c. Taking frequent inventories
2. When being transported outside of a Secured Area, portable devices and media with DSHS Confidential Information must be under the physical control of Contractor staff with authorization to access the Data.

H. Data stored for backup purposes.

1. DSHS Confidential Information may be stored on Portable Media as part of a Contractor's existing, documented backup process for business continuity or disaster recovery purposes. Such storage is authorized until such time as that media would be reused during the course of normal backup operations. If backup media is retired while DSHS Confidential Information still exists upon it, such media will be destroyed at that time in accordance with the disposition requirements below in Section 8 Data Disposition.
2. Data may be stored on non-portable media (e.g. Storage Area Network drives, virtual media, etc.) as part of a Contractor's existing, documented backup process for business continuity or disaster recovery purposes. If so, such media will be protected as otherwise described in this exhibit. If this media is retired while DSHS Confidential Information still exists upon it, the data will be destroyed at that time in accordance with the disposition requirements below in Section 8 Data Disposition.

- I. Cloud storage. DSHS Confidential Information requires protections equal to or greater than those specified elsewhere within this exhibit. Cloud storage of Data is problematic as neither DSHS nor the Contractor has control of the environment in which the Data is stored. For this reason:
 1. DSHS Data will not be stored in any consumer grade Cloud solution, unless all of the following conditions are met:
 - a. Contractor has written procedures in place governing use of the Cloud storage and Contractor attest to the contract listed in the contract and keep a copy of that attestation for your records in writing that all such procedures will be uniformly followed.
 - b. The Data will be Encrypted while within the Contractor network.
 - c. The Data will remain Encrypted during transmission to the Cloud.
 - d. The Data will remain Encrypted at all times while residing within the Cloud storage solution.
 - e. The Contractor will possess a decryption key for the Data, and the decryption key will be possessed only by the Contractor.
 - f. The Data will not be downloaded to non-authorized systems, meaning systems that are not on the contractor network
 - g. The Data will not be decrypted until downloaded onto a computer within the control of an Authorized User and within either the DSHS or Contractor's network.
 2. Data will not be stored on an Enterprise Cloud storage solution unless either:
 - a. The Cloud storage provider is treated as any other Sub-Contractor, and agrees in writing to all of the requirements within this exhibit; or
 - b. The Cloud storage solution used is HIPAA compliant.
 3. If the Data includes protected health information covered by the Health Insurance Portability and Accountability Act (HIPAA), the Cloud provider must sign a Business Associate Agreement prior to Data being stored in their Cloud solution.

6. **System Protection.** To prevent compromise of systems which contain DSHS Data or through which that Data passes:
 - A. Systems containing DSHS Data must have all security patches or hotfixes applied within 3 months of being made available.
 - B. The Contractor will have a method of ensuring that the requisite patches and

hotfixes have been applied within the required timeframes.

- C. Systems containing DSHS Data shall have an Anti-Malware application, if available, installed.
- D. Anti-Malware software shall be kept up to date. The product, its anti-virus engine, and any malware database the system uses, will be no more than one update behind current. be identified for return or destruction. It also aids in determining whether DSHS Data has or may have been compromised in the event of a security breach. As such, one or more of the following methods will be used for data segregation.

7. Data Segregation.

- A. DSHS category 4 data must be segregated or otherwise distinguishable from non-DSHS data. This is to ensure that when no longer needed by the Contractor, all DSHS Data can be identified for return or destruction. It also aids in determining whether DSHS Data has or may have been compromised in the event of a security breach. As such, one or more of the following methods will be used for data segregation
 - 1. DSHS Data will be kept on media (e.g. hard disk, optical disc, tape, etc.) which will contain no non-DSHS Data.
 - 2. DSHS Data will be stored in a logical container on electronic media, such as a partition or folder dedicated to DSHS Data.
 - 3. DSHS Data will be stored in a database which will contain no non-DSHS data. And/or,
 - 4. DSHS Data will be stored within a database and will be distinguishable from non-DSHS data by the value of a specific field or fields within database records.
 - 5. When stored as physical paper documents, DSHS Data will be physically segregated from non-DSHS data in a drawer, folder, or other container.
- B. When it is not feasible or practical to segregate DSHS Data from non-DSHS data, then both the DSHS Data and the non-DSHS data with which it is commingled must be protected as described in this exhibit. Dat

- ## **8. Data Disposition.**
- When the contracted work has been completed or when the Data is no longer needed, except as noted above in 5.b, Data shall be returned to DSHS or destroyed. Media on which Data may be stored and associated acceptable methods of destruction are as follows:

Data stored on:		Will be destroyed by:
<p>Server or workstation hard disks, or</p> <p>Removable media (e.g. floppies, USB flash drives, portable hard disks) excluding optical discs</p>		<p>Using a “wipe” utility which will overwrite the Data at least three (3) times using either random or single character data, or</p> <p>Degaussing sufficiently to ensure that the Data cannot be reconstructed, or</p> <p>Physically destroying the disk</p>
Paper documents with sensitive or Confidential Information		Recycling through a contracted firm, provided the contract with the recycler assures that the confidentiality of Data will be protected.
Paper documents containing Confidential Information requiring special handling (e.g. protected health information)		On-site shredding, pulping, or incineration
Optical discs (e.g. CDs or DVDs)		Incineration, shredding, or completely defacing the readable surface with a course abrasive
Magnetic tape		Degaussing, incinerating or crosscut shredding

9. **Notification of Compromise or Potential Compromise.** The compromise or potential compromise of DSHS shared Data must be reported to the DSHS Contact designated in the Contract within one (1) business day of discovery. If no DSHS Contact is designated in the Contract, then the notification must be reported to the DSHS Privacy Officer at dshsprivacyofficer@dshs.wa.gov. Contractor must also take actions to mitigate the risk of loss and comply with any notification or other requirements imposed by law or DSHS.
10. **Data shared with Subcontractors.** If DSHS Data provided under this Contract is to be shared with a subcontractor, the Contract with the subcontractor must include all of the data security provisions within this Contract and within any amendments, attachments, or exhibits within this Contract. If the Contractor cannot protect the Data as articulated within this Contract, then the contract with the sub-Contractor must be submitted to the DSHS Contact specified for this contract for review and approval.