



DIVISION OF DEVELOPMENTAL DISABILITIES
Olympia, Washington

TITLE: CERTIFICATION OF DDD CONTRACTED POLICY 7.04
COMMUNITY RESIDENTIAL PROGRAMS

Authority: Chapter 71A RCW Developmental Disabilities
Chapter 275-26 WAC Community Residential Services and Support

PURPOSE

This policy:

1. Provides guidelines for the development of new residential programs through the initial certification process; and
2. Ensures proper standards of support and quality are maintained through the process of regular certification, provisional certification, and decertification.

SCOPE

This policy applies to all Division of Developmental Disabilities (DDD) State Operated Living Alternatives (SOLAs) and contracted community residential programs, including facility based programs described in contract as group homes, and non-facility based programs described in contract as regular tenant support, intensive tenant support, supported living, and/or agency alternative living.

DEFINITIONS

“**Certification**” means satisfactory compliance with rules and regulations prescribed in contract allowing for division approval of referral of and service provision to DDD eligible persons.

POLICY

All new residential programs must be certified prior to receiving referrals and serving people.

Each residential program must be evaluated at least biennially to determine compliance with the standards and regulations contained in Chapter 275-26 WAC, other required WAC, the DDD contract, and division policies. These evaluations are conducted by independent consultants contracted by DDD to perform this function. The residential evaluators prepare written reports and facilitate preparation of any corrective action plan (CAP) with the DDD field services representative and residential program representative. DDD field services offices determine the corrective plan timelines and submit recommendations for certification to the division director for approval.

STANDARDS AND PROCEDURES

A. INITIAL CERTIFICATION

1. Residential Program Development

- a. The DDD field services office will prepare and provide to interested or potential contractors, within fifteen (15) working days of the request, relevant information related to DDD certified residential services, including, but not limited to, the following documents:
 - (1) Chapter 275-26 WAC, Community Residential Services and Support;
 - (2) Boarding home or adult family home licensing regulations, as applicable;
 - (3) Sample residential contract;
 - (4) Division policies referenced in the residential contract;
 - (5) DDD cost report and instructions;
 - (6) DDD mission statement;
 - (7) Draft residential service guidelines; and
 - (8) Washington State DSHS regional map.

- b. The DDD field services office will assign a staff to explain and/or clarify to the interested or potential contractor the following information:
 - (1) Whether there is a RFP/RFQ process seeking residential service providers currently in place;
 - (2) General application process;
 - (3) Availability of funding;
 - (4) Service needs of the community;
 - (5) Division philosophy and goals;
 - (6) Funding mechanisms;
 - (7) Licensing, zoning, and fire safety regulations, as applicable;
 - (8) Certification process; and
 - (9) Local county involvement, if applicable.
- c. Interested or potential contractors must be informed that they are not authorized to expend state funds until a signed contract is in place.
- d. The DDD field services office will:
 - (1) Provide the local county Developmental Disabilities Board a copy of the agency's application;
 - (2) Review county recommendations; and
 - (3) In the case of an RFP/RFQ competitive process, invite the county to participate in the application review.

2. Initial Certification Process

- a. Initial certification will be granted based on:
 - (1) The agency's application, which must include:

- (a) Mission statement
 - (b) Budget;
 - (c) Staff coverage schedule
 - (d) Staff training plan;
 - (e) Agency policies and procedures required by Chapter 275-26 WAC;
 - (f) Statement of non-discrimination
 - (g) Three references;
 - (h) Resume of administrator (if selected); and
 - (i) List of agency Board of Directors and affiliation, if applicable.
- (2) Approval of the agency budget by the field services office and DDD central office.
 - (3) Approval by the field services office regarding location(s), numbers of clients, qualifications of staff, staff training plan, and transportation availability.
 - (4) Verification of compliance or timeliness for compliance with relevant rules and regulations described in contract, WAC , and division policies.
- b. Upon receipt of initial certification, the agency will be approved for receiving referrals and serving DDD eligible persons.

B. REGULAR CERTIFICATION

- 1. DDD will schedule an on-site evaluation with the agency within thirty (30) calendar days prior to expiration of the certification date.
- 2. The evaluation will include, at a minimum:

- a. All legal, administrative and program services required by federal regulation, statute, WAC, and contract;
 - b. Selected fiscal areas, including:
 - (1) Settlement of Instruction and Support Service hours and payments; and
 - (2) Client trust accounts, client/provider accounts, individual accounts, individual client cash, and imprest funds.
 - c. The contractor's compliance with past corrective action plans.
3. Evaluators may consult with county Developmental Disabilities Board staff, employment or day program staff, residential program boards of directors, and others as necessary during the evaluation.
4. Evaluation and Corrective Action Plan:
- a. Upon completion of the evaluation, the evaluator facilitates preparation of a corrective action plan (CAP) if necessary. The CAP is developed with the DDD field services representative and a residential program representative and describes identified deficiencies and establishes time frames for compliance.
 - b. The evaluator, a DDD field services representative, and an agency representative must sign the CAP.
 - c. The evaluator sends the signed CAP and a typed original evaluation to DDD central office.
 - d. DDD central office sends copies of the evaluation and CAP to the agency, DDD field services office, and, when applicable, the local office of Aging and Adult Services Administration (AASA), Residential Care Services.
5. The division director or designee will notify the residential services contractor of certification status within twenty (20) working days of receipt of the evaluation and CAP in DDD central office.
6. Regular certification may not exceed two (2) years.

7. Regular certification may be extended for a period not to exceed one hundred and eighty (180) days.

C. PROVISIONAL CERTIFICATION

1. A provisional certification may be granted when:
 - a. The agency is determined to be out of compliance with legal, administrative, and program services required by federal regulation, statute, WAC, and/or contract; and
 - b. The evaluation cites serious deficiencies; and
 - c. The DDD field services representative recommends provisional certification in writing to DDD central office.
2. Field services staff will consult with the residential services agency at a minimum of two (2) month intervals to determine compliance with certification standards, and forward corrective action reports to the division director or designee.
3. A re-evaluation will be scheduled no later than thirty (30) working days prior to the expiration of the provisional certification.
4. DDD may grant a regular certification not to exceed two (2) years if the residential services agency is found to be in substantial compliance within the provisional certification period.
5. Provisional certification may not exceed one hundred and eighty (180) days.

D. DECERTIFICATION

1. DDD may revoke an agency's certification when:
 - a. The agency continues to be out of compliance with legal, administrative, and program services required by federal regulation, statute, WAC, and/or contract at the time of provisional certification; and/or
 - b. There are significant deficiencies noted at the time of regular certification, particularly deficiencies related to client health, safety, abuse, neglect, and/or exploitation.

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2. If the agency contests the division's decision to decertify, the agency may request an administrative review conference.

EXCEPTION TO POLICY:

Any exception to policy must be approved in writing by the division director.

SUPERSESSSION:

Policy Directive 530 (7.04)
Issued 10/22/84

Policy Directive 532 (7.05)
Issued 7/10/84

Approved: /s/ Timothy R. Brown
Director, Division of Developmental Disabilities

Date: 6/30/99