

DEVELOPMENTAL DISABILITIES ADMINISTRATION
Olympia, Washington

TITLE: ALTERNATIVE LIVING POLICY 4.09

Authority: [42 C.F.R. 441.301\(c\)\(4\)](#) *Home and Community-Based Settings*
[Title 71A RCW](#) *Developmental Disabilities*
[WAC 388-823-1095](#) *What are a person's rights as a DDA client or eligible person?*
[Chapter 388-825 WAC](#) *DDA Services Rules*
[Chapter 388-828 WAC](#) *DDA Assessment*
[Chapter 388-829A WAC](#) *Alternative Living*
[Chapter 388-845 WAC](#) *DDA Home and Community-Based Services Waivers*

PURPOSE

This policy establishes alternative living (AL) provider requirements and processes for referral, goal planning, and program oversight.

SCOPE

This policy applies to Developmental Disabilities Administration (DDA) staff and DDA-contracted AL providers.

DEFINITIONS

Client means a person who has a developmental disability as defined in [RCW 71A.10.020\(4\)](#) and has been determined DDA-eligible under [Chapter 388-823 WAC](#). For purposes of notification, informed consent, and decision-making requirements, the term "client" includes the client's legal representative to the extent of the representative's legal authority.

Goal means an area identified in the client's person-centered service plan that the client wants to develop with the assistance of an alternative living provider.

Instruction means goal-oriented teaching that is designed for acquiring, maintaining, and enhancing skills by using techniques such as step-by-step instruction, mentoring, role modeling, and visual supports.

Person-centered service plan or **PCSP** means a document that identifies the client’s goals and assessed health and welfare needs. A person-centered service plan also indicates the paid services and natural supports that will assist the client to achieve their goals and address their assessed needs.

Residential habilitation means services that assist a client to learn, improve, or retain social and adaptive skills necessary for living in the community.

Resource manager means the DDA liaison to the provider who establishes rates and monitors contract compliance.

POLICY

- A. AL is available to clients who are assessed to need residential habilitation services under [Chapter 388-845 WAC](#) and who meet criteria in [WAC 388-829A-040](#).
- B. An AL provider (“provider”) is an independent contractor who focuses on community-based and individualized instruction to enable a client to live independently with minimal residential services.
- C. AL supports must be provided in the community, promote [DDA Guiding Values](#), and meet integrated setting requirements under [42 C.F.R. 441.301\(c\)\(4\)](#).
- D. The provider must offer instruction in areas identified in the client’s PCSP and [DSHS 10-269](#), *Alternative Living Services Plan and Provider Progress Report*.
 - 1. The provider must deliver one-to-one training and support in a typical community setting in a manner appropriate to the client’s age and preferences.
 - 2. Services must be provided in settings under [WAC 388-829A-070](#).
 - 3. The provider may help the client complete the tasks as they are being taught; however, a provider’s tasks are not intended to provide ongoing protective supervision or activities of daily living support. Areas of habilitation include:
 - a. Establishing a Residence;
 - b. Home Living;
 - c. Community Living;
 - d. Health and Safety;
 - e. Social Activities;
 - f. Protection and Advocacy; and
 - g. Other training and support to assist a client to live independently.

4. The provider may hold a key to the client's home if requested by the client.

E. Residential Allowance Requests

An AL client may be able to access residential allowance requests under [DDA Policy 6.11](#), *Residential Allowance Requests*.

PROCEDURES

A. Alternative Living Requests

1. If a client requests AL and the client is not on the Core waiver, the case manager must:
 - a. Consult with their supervisor to determine eligibility for the Core waiver; and
 - b. Follow the regional process for submitting a Core waiver request.

Note: Clients receiving AL before December 1, 2009, who are not on the Core waiver may continue to receive this service without requiring an exception; however, an exception to rule is required for clients who are not on the Core waiver if AL has been terminated and reinstatement is requested.

2. Prior approval from the RMA or designee is required for initial authorization.

B. Referral

1. Before referring a client to providers, the case manager must compile the referral packet. The referral packet must include:
 - a. [DSHS 14-012](#), *Consent*, which must have been signed within the last 12 months;
 - b. The client's PCSP;
 - c. If relevant, dates, sources, and copies of the client's most recent psychological or mental health evaluations, including any behavioral and psychiatric information and treatment plans;
 - d. [DSHS 10-234](#), *Individuals with Challenging Support Issues*, if the client is an adult who has a history of challenging support issues;

- e. The client’s Functional Assessment, Positive Behavior Support Plan, and Cross-System Crisis Plan, if the client has one;
 - f. A summary of incident reports within the past 12 months;
 - g. The client’s criminal history, if applicable; and
 - h. An Individualized Education Plan (IEP) if the client is currently in school and the provider will support the client’s educational goals.
2. When identifying potential providers, the case manager must consider the following:
 - a. Personal preference of the client; and
 - b. Provider’s ability to meet the client’s health, safety, and program needs.

C. **Adding AL to the PCSP**

To add alternative living to the client’s PSCP, the case manager must:

1. Select the service as “Residential habilitation – alternative living.”
2. State the name of the provider, if known.
3. State the number of monthly service hours to be authorized based on the habilitation needs identified in the PCSP. The maximum number of hours allowable is 40 per month.
4. Estimate the number of monthly miles to be authorized for traveling to and from destinations necessary to work on the client’s goals. The provider may only request travel reimbursement for miles traveled with the client in the car.
5. Under the "other plans" tab, select “alternative living.”

D. **Developing and Revising AL Goals**

1. The case manager, client, and provider if available, must review the PCSP and develop residential habilitation goals using [DSHS 10-269](#), *Alternative Living Services Plan and Provider Progress Report*.
 - a. Goals must reflect support needs identified in the client’s PCSP and focus on increasing or maintaining the client’s independence.

- b. Areas of habilitation for goal development are in Attachment A.
2. The case manager must help the client develop goals that are specific, measurable, achievable, relevant, and time bound (“SMART goals”).
3. The case manager must work with the client to estimate provider service hours and miles for each goal. The number of hours and miles needed to maintain skills, or learn new skills, will be modified as determined by measurable outcomes described in [DSHS 10-269](#) and client discussions.
4. The case manager must revise the alternative living goals:
 - a. When a goal is met;
 - b. When the client no longer wants support with a goal;
 - c. When progress is not being made;
 - d. When there is a significant change; and
 - e. At least annually during the client’s DDA assessment.

E. **Provider Duties and Requirements**

A provider must:

1. Participate in the client’s PCSP and alternative living goal development, review, and revision.
2. Use instruction appropriate to the client’s needs and preferred learning style.
3. Submit the following written records and reports to the case manager:
 - a. [DSHS 10-269](#), *Alternative Living Services Plan and Provider Report (PCSP Addendum)*. This report must:
 - i. For each goal, describe the instruction provided and the client’s skill level at the beginning and end of the reporting period;
 - ii. Be signed by the client and the provider; and

- iii. Be submitted at least quarterly or more frequently if requested by DDA. These reports are due by the tenth day of the month following the reporting period.

Note: "Quarterly" means the four following time periods: January through March; April through June; July through September; and October through December.

- b. [DSHS 10-104B](#), *Service Verification and Attendance Record*. This record must:
 - i. State the number of service hours provided;
 - ii. State the number of miles traveled with the client to work on the client's goals;
 - iii. Be signed by the client and the provider; and
 - iv. Be completed monthly and submitted at least quarterly or more frequently if requested by DDA. These reports are due by the tenth day of the month following the reporting period.
 - c. Incident Reports per [DDA Policy 6.12](#), *Incident Management and Reporting Requirements*.
- 6. Maintain a copy of all documents required under this section for six years.
 - 7. Request technical assistance from the resource manager when needed.
 - 8. Notify the case manager if the client's alternative living goals need to be revised.
 - 9. Participate in certification evaluations.

F. **Required Training**

- 1. The provider must meet all training requirements that apply to community residential service businesses under [Chapter 388-829 WAC](#). The provider must complete:
 - a. 12 hours of continuing education as required under [WAC 388-829-0085](#); and
 - b. 75 hours of initial training, which includes:

- i. 5 hours of DDA Orientation and Safety Training;
 - ii. 40 hours of DDA Basic Training; and
 - iii. 30 hours of population-specific training, which includes 6 hours of Alternative Living Provider Orientation.
2. The provider must submit training certificates to the case manager, or regional designee, and make the documentation available to certification evaluators at the time of the evaluation. DDA will reimburse the provider for approved training hours.

G. **Oversight and Quality Assurance Monitoring**

DDA monitors the AL program and providers as follows:

1. The case manager must:
 - a. Visit the client's home at least annually;
 - b. Review and update the client's alternative living goals;
 - c. Review DSHS 10-269 to determine if there is documented evidence:
 - i. Of goal progress; and
 - ii. That instruction techniques are being used.
 - d. Review incident reports from the provider;
 - e. Initial and file written reports submitted by the provider and document in service episode records; and
 - f. Review service verification records if DSHS 10-269 suggests there may be an issue with timekeeping.
2. To review service verification records, the case manager must:
 - a. Confirm that the record is signed by the client and provider after services were provided;
 - b. Confirm that the time worked with the client appears to support the client's goals;
 - c. Confirm the provider fills out time sheets correctly;

- d. Offer the provider technical assistance or training as necessary to complete the records correctly; and
 - e. Process overpayments according to [DDA Policy 11.06](#), *Client and Provider Overpayments*.
3. The provider must participate at least annually in a certification evaluation. The DDA-contracted evaluator will review for compliance with applicable rules, contract, and policies. If indicated, the resource manager must determine corrective actions and timelines with the provider. At the end of the evaluation process, the resource manager recommends a length of certification. DDA headquarters makes the final length-of-certification decision.
 4. The provider must complete all required corrective actions as identified in the certification evaluation within the agreed upon timeframe and submit documentation to the resource manager.
 5. The resource manager must maintain files demonstrating the provider's compliance with:
 - a. Certification process, including corrective action monitoring;
 - b. Training requirements;
 - c. Annually completing [DSHS 10-403](#), *Residential Services Provider: Mandatory Reporting of Abuse, Neglect, Personal and Financial Exploitation, or Abandonment of a Child or Vulnerable Adult*;
 - d. Driver's license and automobile insurance requirements under [WAC 388-829A-270](#), if the provider claims mileage and transports the client.
 6. DDA may decline to authorize payment or terminate a contract for the services of an alternative living provider if the provider fails to comply with the requirements of chapter 388-829A WAC or the DDA alternative living contract.

EXCEPTIONS

A resource manager administrator may grant a written exception to the monthly maximum hours allowable if there is a documented need for additional teaching and training. Any other exception to this policy must have the prior written approval of the Deputy Assistant Secretary.

SUPERSESION

DDA Policy 4.09

Issued January 1, 2021

Approved: /s/: Shannon Manion
Deputy Assistant Secretary
Developmental Disabilities Administration

Date: December 15, 2022

Attachment A – Areas of Habilitation

ATTACHMENT A
Areas of Habilitation

A client may receive instruction in the following areas of habilitation.

1. **Establishing a Residence**, including how to:
 - a. Locate a residence;
 - b. Complete a change of address form;
 - c. Start or stop utility services;
 - d. Manage contractual obligations, such as deposits, insurance, or landlord-tenant agreements; and
 - e. Acquire basic furnishings and food.

2. **Home Living**, including:
 - a. **Personal hygiene**, such as how to maintain personal cleanliness and appearance, and choose weather- and activity-appropriate clothing;
 - b. **Food and nutrition**, such as how to plan a meal, prepare and store food, and understand basic nutrition and diet information; and
 - c. **Home management**, such as how to perform housekeeping activities, launder and store clothing, maintain a yard, use household appliances, and apply home safety practices.

3. **Community Living**, including:
 - a. **Public and private community services**, such as how to access the Social Security Administration (SSA), Supplemental Security Income (SSI), Public Utility District (PUD) assistance, affordable housing, food stamps, phone discounts, utility discounts, food and clothing banks, and homeless shelters;
 - b. **Essential shopping**, such as how to shop for food, clothing, or household items, make lists, locate sales, comparison shop, use coupons, discounts, and debit or credit cards;
 - c. **Transportation**, such as how to use public transportation or a taxi, access specialized transportation, study the driver's manual and practice for licensing testing, maintain a car or bicycle, and practice traffic and pedestrian safety; and
 - d. **Planning leisure time activities**, such as how to identify interests, locate recreational facilities and activities, and plan vacations.

ATTACHMENT A
Areas of Habilitation

4. **Health and Safety**, including:
 - a. **Understanding personal safety and emergency procedures**, such as how to call for and ask for help, create and post emergency numbers, attend a first aid class, protect oneself and one's personal possessions, decrease vulnerability, increase assertiveness, and have situational awareness;
 - b. **Physical, mental, and dental health**, such as how to follow prescribed diet and exercise, practice healthy sexuality, follow a prescribed medication routine, manage illness or injury, schedule appointments and access medical, therapy, dental, and mental health care appointments; and
 - c. **Developing and practicing an emergency response plan to address natural and other disasters**, such as how to locate emergency shelters, build and maintain an emergency kit and supplies, evacuate in an emergency, and follow emergency directions.

5. **Social Activities**, including:
 - a. **Social skills**, such as how to interpret social cues and non-verbal communication, use active listening skills, negotiate with others, work with others to solve problems and make decisions, and advocate for one's self;
 - b. **Community integration**, such as how to volunteer, explore cultural, recreational, leisure, or spiritual activities in the community, and develop relationships with and participate in community clubs, organizations, and other public groups; and
 - c. **Positive relationships**, such as how to build and maintain relationships with family, friends, and other community members.

6. **Protection and Advocacy**, including:
 - a. **Money management and budgeting**, such as how to pay bills and maintain financial records, establish and follow a monthly budget, count money and make change, reconcile bank statements, file tax returns, report wage earnings to SSI, and access consumer credit counseling;
 - b. **Protecting self from exploitation**, such as how to recognize and manage relationships that may pose a danger or risk;
 - c. **Making choices and decisions**, such as how to make informed choices and weigh consequences, and take responsibility for personal decisions; and

ATTACHMENT A
Areas of Habilitation

- d. **Asserting rights and finding advocacy**, such as how to seek help and guidance when needed.

- 7. **Other training and support to assist a client to live independently**, such as helping the client manage significant life events.