



## CLIENT SERVICE CONTRACT

### Pre-Employment Transition Services

DSHS Contract Number:  
 Click here to enter text.  
 Resulting From Solicitation Number:  
 Click here to enter text.

This Contract is between the State of Washington Department of Social and Health Services (DSHS) and the Contractor identified below.

Program Contract Number:  
 Click here to enter text.  
 Contractor Contract Number:

CONTRACTOR NAME Click here to enter text.		CONTRACTOR doing business as (DBA) Click here to enter text.	
CONTRACTOR ADDRESS Click here to enter text. Click here to enter text., Click here to enter text. Click here to enter text.		WASHINGTON UNIFORM BUSINESS IDENTIFIER (UBI) Click here to enter text.	DSHS INDEX NUMBER Click here to enter text.
CONTRACTOR CONTACT Click here to enter text.	CONTRACTOR TELEPHONE Click here to enter text.	CONTRACTOR FAX Click here to enter text.	CONTRACTOR E-MAIL ADDRESS Click here to enter text.
DSHS ADMINISTRATION Click here to enter text.	DSHS DIVISION Click here to enter text.	DSHS CONTRACT CODE Click here to enter text.	
DSHS CONTACT NAME AND TITLE Click here to enter text. Click here to enter text.		DSHS CONTACT ADDRESS Click here to enter text. Click here to enter text., Click here to enter text. Click here to enter text.	
DSHS CONTACT TELEPHONE Click here to enter text.	DSHS CONTACT FAX Click here to enter text.	DSHS CONTACT E-MAIL ADDRESS Click here to enter text.	
IS THE CONTRACTOR A SUBRECIPIENT FOR PURPOSES OF THIS CONTRACT? Click here to enter text.		ASSISTANCE LISTING NUMBER(S) Click here to enter text.	
CONTRACT START DATE Click here to enter text.	CONTRACT END DATE Click here to enter text.	CONTRACT MAXIMUM AMOUNT Click here to enter text.	
<b>EXHIBITS. The following Exhibits are attached and are incorporated into this Contract by reference:</b> <input checked="" type="checkbox"/> Exhibits (specify): See Special Terms and Conditions Section 18, <input type="checkbox"/> Exhibits No Exhibits.			
The terms and conditions of this Contract are an integration and representation of the final, entire and exclusive understanding between the parties superseding and merging all previous agreements, writings, and communications, oral or otherwise, regarding the subject matter of this Contract. The parties signing below represent that they have read and understand this Contract, and have the authority to execute this Contract. This Contract shall be binding on DSHS only upon signature by DSHS.			
CONTRACTOR SIGNATURE  Click here to enter text.		PRINTED NAME AND TITLE	DATE SIGNED
DSHS SIGNATURE  Click here to enter text.		PRINTED NAME AND TITLE	DATE SIGNED

## DSHS General Terms and Conditions

1. **Definitions.** The words and phrases listed below, as used in this Contract, shall each have the following definitions:
  - a. "Central Contracts and Legal Services" means the DSHS central headquarters contracting office, or successor section or office.
  - b. "Confidential Information" or "Data" means information that is exempt from disclosure to the public or other unauthorized persons under RCW 42.56 or other federal or state laws. Confidential Information includes, but is not limited to, Personal Information.
  - c. "Contract" or "Agreement" means the entire written agreement between DSHS and the Contractor, including any Exhibits, documents, or materials incorporated by reference. The parties may execute this contract in multiple counterparts, each of which is deemed an original and all of which constitute only one agreement. E-mail or Facsimile transmission of a signed copy of this contract shall be the same as delivery of an original.
  - d. "CCLS Chief" means the manager, or successor, of Central Contracts and Legal Services or successor section or office.
  - e. "Contractor" means the individual or entity performing services pursuant to this Contract and includes the Contractor's owners, members, officers, directors, partners, employees, and/or agents, unless otherwise stated in this Contract. For purposes of any permitted Subcontract, "Contractor" includes any Subcontractor and its owners, members, officers, directors, partners, employees, and/or agents.
  - f. "Debarment" means an action taken by a Federal agency or official to exclude a person or business entity from participating in transactions involving certain federal funds.
  - g. "DSHS" or the "Department" means the state of Washington Department of Social and Health Services and its employees and authorized agents.
  - h. "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 256 bits 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.
  - i. "Personal Information" means information identifiable to any person, including, but not limited to, information that relates to a person's name, health, finances, education, business, use or receipt of governmental services or other activities, addresses, telephone numbers, Social Security Numbers, driver license numbers, other identifying numbers, and any financial identifiers.
  - j. "Physically Secure" means that access is restricted through physical means to authorized individuals only.
  - k. "Program Agreement" means an agreement between the Contractor and DSHS containing special terms and conditions, including a statement of work to be performed by the Contractor and payment to be made by DSHS.
  - l. "RCW" means the Revised Code of Washington. All references in this Contract to RCW chapters or sections shall include any successor, amended, or replacement statute. Pertinent RCW chapters can be accessed at <http://apps.leg.wa.gov/rcw/>.

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- m. "Regulation" means any federal, state, or local regulation, rule, or ordinance.
- n. "Secured Area" means 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.
- o. "Subcontract" means any separate agreement or contract between the Contractor and an individual or entity ("Subcontractor") to perform all or a portion of the duties and obligations that the Contractor is obligated to perform pursuant to this Contract.
- p. "Tracking" means a record keeping system that identifies when the sender begins delivery of Confidential Information to the authorized and intended recipient, and when the sender receives confirmation of delivery from the authorized and intended recipient of Confidential Information.
- q. "Trusted Systems" include 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; and (4) the Washington State Campus mail system. For electronic transmission, the Washington State Governmental Network (SGN) is a Trusted System for communications within that Network.
- r. "WAC" means the Washington Administrative Code. All references in this Contract to WAC chapters or sections shall include any successor, amended, or replacement regulation. Pertinent WAC chapters or sections can be accessed at <http://apps.leg.wa.gov/wac/>.

**2. Amendment.** This Contract may only be modified by a written amendment signed by both parties. Only personnel authorized to bind each of the parties may sign an amendment.

**3. Assignment.** The Contractor shall not assign this Contract or any Program Agreement to a third party without the prior written consent of DSHS.

**4. Billing Limitations.**

- a. DSHS shall pay the Contractor only for authorized services provided in accordance with this Contract.
- b. DSHS shall not pay any claims for payment for services submitted more than twelve (12) months after the calendar month in which the services were performed.
- c. The Contractor shall not bill and DSHS shall not pay for services performed under this Contract, if the Contractor has charged or will charge another agency of the state of Washington or any other party for the same services.

**5. Compliance with Applicable Law and Washington State Requirements.**

- a. **Applicable Law.** Throughout the performance of this Agreement, Contractor shall comply with all federal, state, and local laws, regulations, and executive orders to the extent they are applicable to this Agreement.
- b. **Civil Rights and Nondiscrimination.** Contractor shall comply with all federal and state civil rights

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and nondiscrimination laws, regulations, and executive orders to the extent they are applicable to this Agreement, including, but not limited to, and as amended, Titles VI and VII of the Civil Rights Act of 1964; Sections 503 and 504 of the Rehabilitation Act of 1973; the Americans with Disabilities Act (ADA); Executive Order 11246; the Health Insurance Portability and Accountability Act of 1996 (HIPAA); the Age Discrimination in Employment Act of 1967, the Age Discrimination Act of 1975, the Vietnam Era Veterans' Readjustment Assistance Act of 1974, and Chapter 49.60 of the Revised Code of Washington, Washington's Law Against Discrimination. These laws, regulations and executive orders are incorporated by reference herein to the extent that they are applicable to the Contract and required by law to be so incorporated.

In the event of the Contractor's noncompliance or refusal to comply with any applicable nondiscrimination laws, regulations, and executive orders, this Agreement may be rescinded, canceled, or terminated in whole or in part.

- c. **Certification Regarding COVID-19 Vaccination Requirements.** Contractor shall abide by the vaccination requirements of Governor Jay Inslee's Proclamation 21-14 and all subsequent amendments. After October 18, 2021 Contractor Staff who are reasonably likely or contractually obligated to engage in work while physically present at a building, facility, jobsite, project site, unit, or other defined area owned, leased, occupied by, or controlled by a State Agency, an operator of an Educational Setting, or an operator of a Health Care Setting as defined in the Proclamation must be fully vaccinated against COVID-19 unless they have been granted a valid disability or religious accommodation by Contractor. Contractor shall obtain a copy of, or visually observe proof of full vaccination against COVID-19 for all Staff who are subject to the vaccination requirement in the Governor's Order. Contractor shall follow the requirements for granting disability and religious accommodations to Contractor's Staff that apply to State Agencies under the Governor's Order. Contractor and Contractor Staff shall provide proof of such vaccination or accommodation upon request by DSHS. Contractor shall cooperate with any investigation or inquiry DSHS makes into the employer's compliance with these requirements, including by providing information and records upon request, except any information or records that the employer is prohibited by law from disclosing.
- d. **Certification Regarding Russian Government Contracts and/or Investments.** Contractor shall abide by the requirements of Governor Jay Inslee's Directive 22-03 and all subsequent amendments. The Contractor, by signature to this Contract, certifies that the Contractor is not presently an agency of the Russian government, an entity which is Russian-state owned to any extent, or an entity sanctioned by the United States government in response to Russia's invasion of Ukraine. The Contractor also agrees to include the above certification in any and all Subcontracts into which it enters. The Contractor shall immediately notify DSHS if, during the term of this Contract, Contractor does not comply with this certification. DSHS may immediately terminate this Contract by providing Contractor written notice if Contractor does not comply with this certification during the term hereof.

### 6. Confidentiality.

- a. The Contractor shall not use, publish, transfer, sell or otherwise disclose any Confidential Information gained by reason of this Contract for any purpose that is not directly connected with Contractor's performance of the services contemplated hereunder, except:
  - (1) as provided by law; or,
  - (2) in the case of Personal Information, with the prior written consent of the person or personal representative of the person who is the subject of the Personal Information.

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- b. The Contractor shall protect and maintain all Confidential Information gained by reason of this Contract against unauthorized use, access, disclosure, modification or loss. This duty requires the Contractor to employ reasonable security measures, which include 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) Ensure the security of Confidential Information transmitted via fax (facsimile) by:
    - (a) Verifying the recipient phone number to prevent accidental transmittal of Confidential Information to unauthorized persons.
    - (b) Communicating with the intended recipient before transmission to ensure that the fax will be received only by an authorized person.
    - (c) Verifying after transmittal that the fax was received by the intended recipient.
  - (4) When transporting six (6) or more records containing Confidential Information, outside a Secured Area, do one or more of the following as appropriate:
    - (a) Use a Trusted System.
    - (b) Encrypt the Confidential Information, including:
      - i. Encrypting email and/or email attachments which contain the Confidential Information.
      - ii. Encrypting Confidential Information when it is stored on portable devices or media, including but not limited to laptop computers and flash memory devices.
- Note: If the DSHS Data Security Requirements Exhibit is attached to this contract, this item, 6.b.(4), is superseded by the language contained in the Exhibit.**
- (5) Send paper documents containing Confidential Information via a Trusted System.
  - (6) Following the requirements of the DSHS Data Security Requirements Exhibit, if attached to this contract.
- c. Upon request by DSHS, at the end of the Contract term, or when no longer needed, Confidential Information shall be returned to DSHS or Contractor shall certify in writing that they employed a DSHS approved method to destroy the information. Contractor may obtain information regarding approved destruction methods from the DSHS contact identified on the cover page of this Contract.
- d. 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 on-site through shredding, pulping, or incineration.
- e. Notification of Compromise or Potential Compromise. The compromise or potential compromise of

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Confidential Information must be reported to the DSHS Contact designated on the contract within one (1) business day of discovery. Contractor must also take actions to mitigate the risk of loss and comply with any notification or other requirements imposed by law or DSHS.

7. **Debarment Certification.** The Contractor, by signature to this Contract, certifies that the Contractor is not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency from participating in transactions (Debarred). The Contractor also agrees to include the above requirement in any and all Subcontracts into which it enters. The Contractor shall immediately notify DSHS if, during the term of this Contract, Contractor becomes Debarred. DSHS may immediately terminate this Contract by providing Contractor written notice if Contractor becomes Debarred during the term hereof.
8. **E-Signature and Records.** An electronic signature or electronic record of this Contract or any other ancillary agreement shall be deemed to have the same legal effect as delivery of an original executed copy of this Contract or such other ancillary agreement for all purposes.
9. **Governing Law and Venue.** This Contract shall be construed and interpreted in accordance with the laws of the state of Washington and the venue of any action brought hereunder shall be in Superior Court for Thurston County.
10. **Independent Contractor.** The parties intend that an independent contractor relationship will be created by this Contract. The Contractor and his or her employees or agents performing under this Contract are not employees or agents of the Department. The Contractor, his or her employees, or agents performing under this Contract will not hold himself/herself out as, nor claim to be, an officer or employee of the Department by reason hereof, nor will the Contractor, his or her employees, or agent make any claim of right, privilege or benefit that would accrue to such officer or employee.
11. **Inspection.** The Contractor shall, at no cost, provide DSHS and the Office of the State Auditor with reasonable access to Contractor's place of business, Contractor's records, and DSHS client records, wherever located. These inspection rights are intended to allow DSHS and the Office of the State Auditor to monitor, audit, and evaluate the Contractor's performance and compliance with applicable laws, regulations, and these Contract terms. These inspection rights shall survive for six (6) years following this Contract's termination or expiration.
12. **Maintenance of Records.** The Contractor shall maintain records relating to this Contract and the performance of the services described herein. The records include, but are not limited to, accounting procedures and practices, which sufficiently and properly reflect all direct and indirect costs of any nature expended in the performance of this Contract. All records and other material relevant to this Contract shall be retained for six (6) years after expiration or termination of this Contract.  
  
Without agreeing that litigation or claims are legally authorized, if any litigation, claim, or audit is started before the expiration of the six (6) year period, the records shall be retained until all litigation, claims, or audit findings involving the records have been resolved.
13. **Order of Precedence.** In the event of any inconsistency or conflict between the General Terms and Conditions and the Special Terms and Conditions of this Contract or any Program Agreement, the inconsistency or conflict shall be resolved by giving precedence to these General Terms and Conditions. Terms or conditions that are more restrictive, specific, or particular than those contained in the General Terms and Conditions shall not be construed as being inconsistent or in conflict.
14. **Severability.** If any term or condition of this Contract is held invalid by any court, the remainder of the Contract remains valid and in full force and effect.

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**15. Survivability.** The terms and conditions contained in this Contract or any Program Agreement which, by their sense and context, are intended to survive the expiration or termination of the particular agreement shall survive. Surviving terms include, but are not limited to: Billing Limitations; Confidentiality, Disputes; Indemnification and Hold Harmless, Inspection, Maintenance of Records, Notice of Overpayment, Ownership of Material, Termination for Default, Termination Procedure, and Treatment of Property.

**16. Contract Renegotiation, Suspension, or Termination Due to Change in Funding.**

If the funds DSHS relied upon to establish this Contract or Program Agreement are withdrawn, reduced or limited, or if additional or modified conditions are placed on such funding, after the effective date of this contract but prior to the normal completion of this Contract or Program Agreement:

- a. At DSHS's discretion, the Contract or Program Agreement may be renegotiated under the revised funding conditions.
- b. At DSHS's discretion, DSHS may give notice to Contractor to suspend performance when DSHS determines that there is reasonable likelihood that the funding insufficiency may be resolved in a timeframe that would allow Contractor's performance to be resumed prior to the normal completion date of this contract.
  - (1) During the period of suspension of performance, each party will inform the other of any conditions that may reasonably affect the potential for resumption of performance.
  - (2) When DSHS determines that the funding insufficiency is resolved, it will give Contractor written notice to resume performance. Upon the receipt of this notice, Contractor will provide written notice to DSHS informing DSHS whether it can resume performance and, if so, the date of resumption. For purposes of this subsection, "written notice" may include email.
  - (3) If the Contractor's proposed resumption date is not acceptable to DSHS and an acceptable date cannot be negotiated, DSHS may terminate the contract by giving written notice to Contractor. The parties agree that the Contract will be terminated retroactive to the date of the notice of suspension. DSHS shall be liable only for payment in accordance with the terms of this Contract for services rendered prior to the retroactive date of termination.
- c. DSHS may immediately terminate this Contract by providing written notice to the Contractor. The termination shall be effective on the date specified in the termination notice. DSHS shall be liable only for payment in accordance with the terms of this Contract for services rendered prior to the effective date of termination. No penalty shall accrue to DSHS in the event the termination option in this section is exercised.

**17. Waiver.** Waiver of any breach or default on any occasion shall not be deemed to be a waiver of any subsequent breach or default. Any waiver shall not be construed to be a modification of the terms and conditions of this Contract. Only the CCLS Chief or designee has the authority to waive any term or condition of this Contract on behalf of DSHS.

**1. Additional General Terms and Conditions – Client Service Contracts:**

**18. Advance Payment.** DSHS shall not make any payments in advance or anticipation of the delivery of services to be provided pursuant to this Contract.

**19. Construction.** The language in this Contract shall be interpreted as to its fair meaning and not strictly

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for or against any party. Any rule of construction to the effect that ambiguities are to be resolved against the drafting party shall not apply in interpreting this Contract.

- 20. Contractor Certification Regarding Ethics.** The Contractor certifies that the Contractor is now, and shall remain, in compliance with Chapter 42.52 RCW, Ethics in Public Service, throughout the term of this Contract.
- 21. Health and Safety.** Contractor shall perform any and all of its obligations under this Contract in a manner that does not compromise the health and safety of any DSHS client with whom the Contractor has contact.
- 22. Indemnification and Hold Harmless.**
- a. The Contractor shall be responsible for and shall indemnify, defend, and hold DSHS harmless from any and all claims, costs, charges, penalties, demands, losses, liabilities, damages, judgments, or fines, of whatsoever kind of nature, arising out of or relating to a) the Contractor's or any Subcontractor's performance or failure to perform this Contract, or b) the acts or omissions of the Contractor or any Subcontractor.
  - b. The Contractor's duty to indemnify, defend, and hold DSHS harmless from any and all claims, costs, charges, penalties, demands, losses, liabilities, damages, judgments, or fines shall include DSHS' personnel-related costs, reasonable attorney's fees, court costs, and all related expenses.
  - c. The Contractor waives its immunity under Title 51 RCW to the extent it is required to indemnify, defend, and hold harmless the State and its agencies, officials, agents, or employees.
  - d. Nothing in this term shall be construed as a modification or limitation on the Contractor's obligation to procure insurance in accordance with this Contract or the scope of said insurance.
- 23. Industrial Insurance Coverage.** The Contractor shall comply with the provisions of Title 51 RCW, Industrial Insurance. If the Contractor fails to provide industrial insurance coverage or fails to pay premiums or penalties on behalf of its employees, as may be required by law, DSHS may collect from the Contractor the full amount payable to the Industrial Insurance accident fund. DSHS may deduct the amount owed by the Contractor to the accident fund from the amount payable to the Contractor by DSHS under this contract, and transmit the deducted amount to the Department of Labor and Industries, (L&I) Division of Insurance Services. This provision does not waive any of L&I's rights to collect from the Contractor.
- 24. Notice of Overpayment.** If the Contractor receives a vendor overpayment notice or a letter communicating the existence of an overpayment from DSHS, the Contractor may protest the overpayment determination by requesting an adjudicative proceeding. The Contractor's request for an adjudicative proceeding must:
- a. Be received by the Office of Financial Recovery (OFR) at Post Office Box 9501, Olympia, Washington 98507-9501, within twenty-eight (28) calendar days of service of the notice;
  - b. Be sent by certified mail (return receipt) or other manner that proves OFR received the request;
  - c. Include a statement as to why the Contractor thinks the notice is incorrect; and
  - d. Include a copy of the overpayment notice.

Timely and complete requests will be scheduled for a formal hearing by the Office of Administrative Hearings. The Contractor may be offered a pre-hearing or alternative dispute resolution conference in an attempt to resolve the overpayment dispute prior to the hearing.



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Failure to provide OFR with a written request for a hearing within twenty-eight (28) days of service of a vendor overpayment notice or other overpayment letter will result in an overpayment debt against the Contractor. DSHS may charge the Contractor interest and any costs associated with the collection of this overpayment. DSHS may collect an overpayment debt through lien, foreclosure, seizure and sale of the Contractor's real or personal property; order to withhold and deliver; or any other collection action available to DSHS to satisfy the overpayment debt.

**25. Subcontracting.** Except as otherwise provided in this Contract, the Contractor shall not subcontract any of the contracted services without the prior approval of DSHS. Contractor is responsible to ensure that all terms, conditions, assurances and certifications set forth in this Contract are included in any and all Subcontracts, unless an exception to including a particular term or terms has been approved in advance by the CCLS Chief. Any failure of Contractor or its subcontractors to perform the obligations of this Contract shall not discharge the Contractor from its obligations hereunder or diminish DSHS' rights or remedies available under this Contract.

**26. Subrecipients.**

a. General. If the Contractor is a subrecipient of federal awards as defined by 2 CFR Part 200 and this Agreement, the Contractor shall:

- (1) Maintain records that identify, in its accounts, all federal awards received and expended and the federal programs under which they were received, by Catalog of Federal Domestic Assistance (CFDA) title and number, award number and year, name of the federal agency, and name of the pass-through entity;
- (2) Maintain internal controls that provide reasonable assurance that the Contractor is managing federal awards in compliance with laws, regulations, and provisions of contracts or grant agreements that could have a material effect on each of its federal programs;
- (3) Prepare appropriate financial statements, including a schedule of expenditures of federal awards;
- (4) Incorporate 2 CFR Part 200, Subpart F audit requirements into all agreements between the Contractor and its Subcontractors who are subrecipients;
- (5) Comply with the applicable requirements of 2 CFR Part 200, including any future amendments to 2 CFR Part 200, and any successor or replacement Office of Management and Budget (OMB) Circular or regulation; and
- (6) Comply with the Omnibus Crime Control and Safe streets Act of 1968, Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, Title II of the Americans with Disabilities Act of 1990, Title IX of the Education Amendments of 1972, The Age Discrimination Act of 1975, and The Department of Justice Non-Discrimination Regulations, 28 C.F.R. Part 42, Subparts C.D.E. and G, and 28 C.F.R. Part 35 and 39. (Go to <https://ojp.gov/about/offices/ocr.htm> for additional information and access to the aforementioned Federal laws and regulations.)

b. Single Audit Act Compliance. If the Contractor is a subrecipient and expends \$750,000 or more in federal awards from any and/or all sources in any fiscal year, the Contractor shall procure and pay for a single audit or a program-specific audit for that fiscal year. Upon completion of each audit, the Contractor shall:

- (1) Submit to the DSHS contact person the data collection form and reporting package specified in

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2 CFR Part 200, Subpart F, reports required by the program-specific audit guide (if applicable), and a copy of any management letters issued by the auditor;

(2) Follow-up and develop corrective action for all audit findings; in accordance with 2 CFR Part 200, Subpart F; prepare a "Summary Schedule of Prior Audit Findings" reporting the status of all audit findings included in the prior audit's schedule of findings and questioned costs.

c. Overpayments. If it is determined by DSHS, or during the course of a required audit, that the Contractor has been paid unallowable costs under this or any Program Agreement, DSHS may require the Contractor to reimburse DSHS in accordance with 2 CFR Part 200.

**27. Termination for Convenience.** DSHS may terminate this Contract in whole or in part when it is in the best interest of DSHS by giving the Contractor at least thirty (30) calendar days' written notice. The Contractor may terminate this Contract for convenience by giving DSHS at least thirty (30) calendar days' written notice addressed to DSHS at the address listed on page 1 of this Contract.

**28. Termination for Default.** The CCLS Chief may immediately terminate this Contract for default, in whole or in part, by written notice to the Contractor if DSHS has a reasonable basis to believe that the Contractor has:

- a. Failed to meet or maintain any requirement for contracting with DSHS;
- b. Failed to protect the health or safety of any DSHS client pursuant to the section entitled Health and Safety of this Contract;
- c. Failed to perform under, or otherwise breached, any term or condition of this Contract; and/or
- d. Violated any applicable law or regulation.

If it is later determined that the Contractor was not in default, the termination shall be considered a termination for convenience.

**29. Termination or Expiration Procedure.** The following terms and conditions apply upon Contract termination or expiration:

- a. The Contractor shall cease to perform any services required by this Contract as of the effective date of termination or expiration.
- b. If the Contract is terminated, the Contractor shall comply with all instructions contained in the termination notice.
- c. The Contractor shall immediately deliver to the DSHS contact named on page one of this Contract, or to his or her successor, all DSHS property in the Contractor's possession. The Contractor grants DSHS the right to enter upon the Contractor's premises for the sole purpose of recovering any DSHS property that the Contractor fails to return within ten (10) calendar days of the effective date of termination or expiration of this Contract. Upon failure to return DSHS property within ten (10) calendar days, the Contractor shall be charged with all reasonable costs of recovery, including transportation.
- d. DSHS shall be liable only for payment required under the terms of this Contract for service rendered up to the effective date of termination or expiration.
- e. DSHS may withhold a sum from the final payment to the Contractor that DSHS determines necessary to protect DSHS against loss or additional liability.
- f. The rights and remedies provided to DSHS in this Section are in addition to any other rights and

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remedies provided at law, in equity, and/or under this Contract, including consequential and incidental damages.

- 30. Treatment of Client Property.** Unless otherwise provided, the Contractor shall ensure that any adult client receiving services from the Contractor has unrestricted access to the client's personal property. The Contractor shall not interfere with any adult client's ownership, possession, or use of the client's property. The Contractor shall provide clients under age eighteen (18) with reasonable access to their personal property that is appropriate to the client's age, development, and needs. Upon termination of services to a client, the Contractor shall immediately release to the client and/or the client's guardian or custodian all of the client's personal property.
- 31. Treatment of Property.** All property purchased or furnished by DSHS for use by the Contractor during this Contract term shall remain with DSHS. Title to all property purchased or furnished by the Contractor for which the Contractor is entitled to reimbursement by DSHS under this Contract shall pass to and vest in DSHS. The Contractor shall protect, maintain, and insure all DSHS property in its possession against loss or damage and shall return DSHS property to DSHS upon Contract termination or expiration.
- 32. Taxes.**
- a. Where required by statute or regulation, Contractor shall pay for and maintain in current status all taxes that are necessary for Contract performance. DSHS will pay sales or use taxes, if any, imposed on the services and materials acquired hereunder. Contractor must pay all other taxes including without limitation Washington Business and Occupation Tax, other taxes based on Contractor's income or gross receipts, or personal property taxes levied or assessed on Contractor's personal property. DSHS, as an agency of Washington State government, is exempt from property tax.
  - b. Contractor shall complete registration with the Washington State Department of Revenue and be responsible for payment of all taxes due on payments made under this Contract in accordance with the requirements of [Title 82 RCW](#) and [Title 458 WAC](#). Out-of-state Contractors must contact the Department of Revenue to determine whether they meet criteria to register and establish an account with the Department of Revenue. Refer to WAC 458-20-101 (Tax registration and tax reporting) and call the Department of Revenue at 800-647-7706 for additional information. When out-of-state Contractors are not required to collect and remit sales tax, DSHS shall be responsible for paying use tax, if applicable, directly to the Department of Revenue.
  - c. All payments accrued on account of payroll taxes, unemployment contributions, any other taxes, insurance, or other expenses for Contractor or Contractor's staff shall be Contractor's sole responsibility.
- 33. Preventing Disruption of Adult Care, Mental Health, Addiction, Disability Support, or Youth Services Due to Labor Management Disputes and Employee Unrest.**

Washington law requires that all services, direct or ancillary, for adult care, mental health, addiction, disability support, and youth services, be warranted by the Contractor providing those services against disruption. Contractor and DSHS agree that disruptions to these services such as strikes, walk-offs, sick-ins, slowdowns, or any other such action designed to pressure Contractor's management to meet labor, workforce, or subcontractor demands ("Economic or Industrial Action") are covered under this warranty.

If this Contract includes adult care, mental health, addiction, disability support, or youth services, Contractor agrees to execute and maintain one or more of the following mandatory contractual

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commitments through the life of the Contract:

- a. An agreement between the Contractor and any exclusive representative labor organization representing the employees performing the contracted services. This agreement must contain a provision prohibiting Economic or Industrial Action on the part of all parties. This agreement must also include a process for the resolution of disputes between them; or
- b. An agreement between the Contractor and any labor organization seeking to represent the employees performing the contracted services. This agreement must contain a provision prohibiting the parties from causing, promoting, or encouraging Economic or Industrial Action, or other disruptive activity. This agreement must also include a process for resolution of disputes between parties.

Contractor must notify DSHS if it is unable to form a compliant agreement with a labor organization within 30 days of executing this Contract.

If services under this Contract are interrupted due to Contractor's failure to maintain one or more of the required contractual commitments listed above, DSHS may immediately terminate, suspend, or revoke this Contract for default, and arrange for the provision of services by other means. Contractor shall provide reimbursement of the actual costs to DSHS arising out of the inadequacy of the warranty provided by the Contractor.

### **34. Mandatory Individual Arbitration and Class or Collective Action Waiver as a Condition of Employment.**

- a. "Mandatory Individual Arbitration Clause" or "Class or Collective Action Waiver" means an arbitration clause or waiver in an employment contract which precludes Contractor's employees from resolving employment disputes with their employer through class or collective proceedings in federal court. Instead, employees must bring individualized arbitration proceedings against their employer to resolve any employment disputes.
- b. The Contractor, by signature to this Contract, certifies that the Contractor does not require Contractor's employees to agree to, as a condition of employment, a Mandatory Individual Arbitration Clause or Class or Collective Action Waiver.
- c. Contractor must notify DSHS within ten (10) business days if, during the term of this Contract, Contractor requires Contractor's employees to agree to, as a condition of employment, a Mandatory Individual Arbitration Clause or Class or Collective Action Waiver.
- d. If Contractor, during the term of this contract, requires Contractor's employees to agree to, as a condition of employment, a Mandatory Individual Arbitration Clause or Class or Collective Action Waiver, DSHS reserves the right to terminate this contract, per the General Terms and Conditions Section regarding Termination for Convenience.

## DSHS Special Terms and Conditions

1. Definitions Specific to Special Terms. The words and phrases listed below, as used in this Contract, shall each have the following definitions. Definitions specific to each service are outlined in each service category.
  - a. "504 Plan" means a plan that falls under Section 504 of the Rehabilitation Act of 1973, as amended. It is a plan developed to ensure that primary and secondary students with disabilities identified under the law receive accommodations that will ensure their academic success and access to the educational learning environment.
  - b. "BCCU" means the DSHS Background Check Central Unit.
  - c. "Business Day" means the days between and including Monday to Friday, excluding holidays observed by the State of Washington and its employees.
  - d. "Character, Competence, and Suitability Assessment (CCSA)" means a form completed and kept on file by the Contractor. It justifies why an employee, intern, or volunteer, with a "REVIEW REQUIRED" outcome in their Background Check, may have unsupervised access to Students served under this Contract.
  - e. "Contractor Site" means any physical or virtual premises at which a Contractor owns or operates their business.
  - f. "Corrective Action Plan (CAP)" means a written plan approved by DSHS which identifies deficiencies in the Contractor's performance, describes the steps the Contractor must take to correct the deficiencies, and sets forth timeframes within which such steps must be taken to return Contractor to compliance with the terms of the Contract.
  - g. "DVR" means the Division of Vocational Rehabilitation, of the Washington State Department of Social and Health Services (DSHS).
  - h. "DVR-Eligible" means a Student as described in this Contract who has applied for, and been found eligible for DVR services.
  - i. "Individual with Disabilities Education Act (IDEA)" means the federal law that requires schools to serve the educational needs of Students with disabilities.
  - j. "Individualized Education Program (IEP)" means the individualized educational program for a primary or secondary Student who has been found to have a disability, as defined by federal regulations under IDEA at 20 U.S.C. Section 1401 (2010).
  - k. "Informational Interview" means a group of potentially DVR-Eligible Students meeting with an employer at the school or at a worksite in the community to ask questions and learn about occupations and employers. The meeting between the Students and the employer shall be coordinated and collaborated between DVR and the school and is for Students aged 14-21.
  - l. "Integrated Work Setting" Means Part-time or full-time work:
    - (1) that is performed in an integrated setting; and
    - (2) Work for which you earn the same wages and benefits as other employees without disabilities in similar occupations or performing similar tasks, who have similar training, experience, and skills;
  - m. "Job Shadow Visit" means a group of Potentially DVR-Eligible Students visiting a worksite in the

## DSHS Special Terms and Conditions

community for a minimum of one hour to observe a specific job being performed by an employee or employees. The Job Shadow Visit shall be coordinated and collaborated between DVR, for Students aged 14-21.

- n. "Job Exploration Counseling" means activities which promote considerations of opportunities and informed decision-making regarding career options to help Students with disabilities understand post-school choices and opportunities.
- o. "Job Site Tour" means visiting a worksite in the community for a minimum of one hour where a group of Students observe a variety of different jobs being performed by employees at the same location. Job Site Tours shall be coordinated and collaborated between DVR and the school, for Students aged 14-21.
- p. "Peer Mentoring" means a process through which a more experienced Student encourages and assists a less experienced Student to develop their potential within a shared area of interest. Peer mentoring experiences shall be based on the Student's areas of vocational interest, as coordinated and collaborated between DVR and the school. Peer Mentoring training is for Students aged 14-21. Students must be 16-21 to participate in a Work-Based Learning Paid Internship as a peer mentor.
- q. "Potentially DVR-Eligible" means a Student, as defined in this Contract, who has not applied for nor is receiving DVR services.
- r. "Pre-Employment Transition Services (Pre-ETS)" means the required activities specified in the Rehabilitation Act of 1973, as amended by the Workforce Innovation and Opportunity Act (WIOA) in 2014 that are provided to Students with disabilities while attending secondary school or enrolled in post-secondary education.
- s. "Rehabilitation Act" means the Rehabilitation Act of 1973, as amended. The Rehabilitation Act authorizes formula grant programs for vocational rehabilitation, supported employment, and client assistance.
- t. "Self-advocacy" means an individual's ability to effectively communicate, convey, negotiate, or assert his/her interests and/or desires. Self-advocacy instruction may include Peer Mentoring. Self-advocacy training experiences shall be coordinated and collaborated between DVR and the school, for Students aged 14-21.
- u. "Student" means an individual, ages 14 through 21, with an IEP that includes post-secondary transition planning, a Section 504 Plan, or a documented disability who is attending or enrolled in a secondary, postsecondary, or other recognized education program. Students shall be 16 through 21 years of age to participate in Work-Based Learning Paid Internship .
- v. "Supervising Adult" means:
  - (1) A member of the Contractor's personnel (Board member, staff person, or intern) who is present at all times when Students are served in a group setting within the community or at the Contractor's site to facilitate active Student engagement and ensure Student safety; and
  - (2) A member of the Contractor's personnel (Board member, staff person, or intern) who is present at all times when Students are served in a group setting on school premises to facilitate active Student engagement and ensure Student safety; this may be in combination with school personnel (teacher or teacher's aide) who is also present at all times.
- w. "Teen Worker Rules" means regulations, guidelines, forms, and other information established by the Washington State Department of Labor and Industries that govern the employment of minors.

## DSHS Special Terms and Conditions

- w. "Unsupervised Access" means that a member of the Contractor's personnel (Board member, staff person, volunteer, or intern) is in the presence of a Student but not in the presence of:
  - (1) Another member of the Contractor's personnel who has passed the DVR background check; or
  - (2) Any relative or guardian of the child or developmentally disabled individual or vulnerable adult to whom the applicant has access during the course of his or her employment or involvement with the business or organization (RCW 43.43.830(13)).
- x. "Work-Based Learning Experiences" means in-school or after-school opportunities, or experiences outside the traditional school setting, that use the workplace or real work to provide Students with disabilities the knowledge and skills that connect school experiences to real-life work activities and future career opportunities in a group setting. Includes Work-Based Learning Paid Internships for DVR-Potentially Eligible Students.
- y. "Work-Based Learning Paid Internship" means activities where a DVR-Potentially Eligible Student is placed into a competitive, integrated, real work setting, outside of the traditional school setting where they get paid at or above the state prevailing minimum wage for a minimum of 10 hours a week, to perform a non-permanent job at an employer's worksite in accordance with Washington State Teen Worker Rules established by the State Department of Labor and Industries. For Students aged 16-21.
- z. "Workshop" means a hands-on learning experience where potentially DVR eligible Students actively engage in a group setting in the required activities of the Workforce Innovation and Opportunity Act (WIOA). It focuses on building the practical skills that are outlined in the topic areas of the Statement of Work of this contract and is provided by the contractor.
- aa. "Worksite Development" means the contractor locates a business entity or non-profit organization within the community that will host the student for the purpose of placement into a Work-Based Learning Paid Internship.
- bb. "Workplace Readiness Training" means the provision of opportunities for Students with disabilities to learn about and develop both social and independent living skills. Workplace Readiness Training shall be coordinated and collaborated between DVR and the school. For Students aged 14-21.

### 2. Purpose.

- a. The purpose of the contract is to provide the 5 required activities for Pre-Employment Transition Services (Pre-ETS) under the Workforce Innovation and Opportunity Act to Students with disabilities in a group setting.

The required activities include Job Exploration Counseling, Work-Based Learning Experiences, Counseling on Opportunities for Enrollment in Comprehensive Transition or Post-Secondary Educational Programs, Work-Readiness Training and Self-Advocacy Training. The required activities shall be delivered in collaboration and coordination with DVR and Local Educational Agencies (LEA) as identified in WIOA in a manner that is non-discriminatory and allows equitable access to all Students who need them.

- b. This Contract is awarded as a result of DSHS Solicitation # 2413-855. The solicitation documents, and the Contractor's written response to that solicitation, are incorporated by reference.

### 3. General Requirements.

- a. The Contractor shall:

## DSHS Special Terms and Conditions

- (1) Provide all services in accordance with the **Exhibit E** – Code of Ethics and Standards of Practice form, DSHS 05-252. The Contractor must complete, and remit **Exhibit E** signed and agreed to as part of the Contractor's intake submission, prior to contract execution.
  - (2) **Prior to providing services to each Student:**
    - (a) Obtain parental, guardian, or Student consent for the Student to receive Pre-ETS **Exhibit B** – DSHS/DVR Pre-Employment Transition Services Information and Consent form, DSHS 11-122 from the DVR Regional Transition Consultant or Vocational Rehabilitation Counselor;
    - (b) Obtain documentation certifying a student's disability and referral for the Pre-ETS program from the DVR Regional Transition Consultant.
    - (c) Gather emergency contact information obtained by the DVR Regional Transition Consultant.
    - (d) Complete background checks for all staff, interns and volunteers through the DSHS Background Check System.
  - (3) Assume all responsibility for the well-being, safety, and protection of participating Students, as well as liability for any type of harm, injury, and/or loss that a Student may experience while participating in all of the Required Activities including: Job Exploration Counseling, Work-Based Learning Experiences, Counseling on Opportunities for Enrollment in Comprehensive Transition or Post-Secondary Educational Programs, Work-Readiness Training and Self-Advocacy Training.
    - (a) Develop and document a process for reporting any and all incidents where injury, loss or harm have occurred to participating students;
    - (b) Report any and all incidents where injury, loss or harm have occurred to participating students on a form developed by the Contractor;
    - (c) Incidents shall be reported within 48 hours of their occurrence to the Pre-ETS Program Manager at: PO Box 45340 Olympia WA, 98504-5340. Or by email to: [Abby.Smith@dshs.wa.gov](mailto:Abby.Smith@dshs.wa.gov).
  - (4) Assure that the services provided to Students under this contract do not duplicate or supplant the same or similar services that are provided to the same Students by their school.
- b. When serving Students in a group setting within the community, the Contractor shall not exceed a ratio of one (1) supervising adult per five (5) Students (1:5). When serving Students in a group setting on school premises, the Contractor shall not exceed a ratio of one (1) supervising adult per fifteen (15) Students (1:15).
  - c. The Contractor shall have a data tracking mechanism in place to ensure accurate reporting of participant numbers. **No off-contract services shall be paid outside the contract deliverables.**
  - d. Reports are required for, and must accompany, all invoices submitted to the Regional Transition Consultant or designee. For reporting requirements, see Section 6 below.
  - e. By signing this DVR Contract, the Contractor agrees to:
    - (1) Provide all services, as described in Section 4, Statement of Work, of this contract in a manner and setting(s) that meet the requirements of the Americans with Disabilities Act (ADA) of 1990, as amended.



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- (2) Arrange and be responsible for all costs associated with communication interpreter services, as needed, to provide disability-related access per the Americans with Disabilities Act (ADA) of 1990, as amended unless the cost involved would cause an undue burden, defined as a significant difficulty or expense, for the Contractor. Determination of what constitutes an undue burden shall be made by DVR on a case-by-case basis, relative to the Contractor's overall resources. If an undue burden does exist, DVR may pay for interpreter services apart from the contracted fee for service.
- (3) Provide and be responsible for the cost of providing services through alternative formats, methods, and languages, as needed, for Students who have Limited English Proficiency (LEP) as per the Civil Rights Act of 1964.

### 4. Statement of Work.

The Contractor shall provide the services and staff and otherwise do all things necessary for or incidental to the performance of work in this assigned service area as set forth below.

#### a. Job Exploration Counseling;

- (1) The Contractor shall provide Job Exploration Counseling activities which promote considerations of opportunities and informed decision-making regarding career options to help Students with disabilities understand post-school choices and opportunities.
  - (a) The Students' vocational interest inventory results;
    - i. The Contractor reviews the Student's vocational inventory interest results and discuss (b)(c)(d) below for each of the vocational interests identified.
  - (b) In-demand occupations;
    - i. The Contractor must discuss the occupations which best align with the Student's vocational inventory interest results. The occupations discussed must be relevant and sought after by employers within the industries that the Student is interested in.
  - (c) Career pathways; and
    - i. The Contractor must discuss potential career pathways for each of the in-demand occupations that the Student is interested in and show the Student how each of these occupations can be obtained.
  - (d) Local labor market information.
    - i. The Contractor must show the Student the vocational outlook for the in-demand occupations that align with their vocational interests. The Contractor must use labor market information which will show the Student a comprehensive overview of their occupational interest(s). The contractor shall ensure that the overview includes a review of the occupational demands of their occupational field of interest in their local area.
  - (e) The contractor may provide Job Exploration Counseling on other topic areas with prior approval from the Pre-ETS Program Manager.
- (2) Job Exploration Counseling activities may be conducted in-person or virtually.

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- (3) The Contractor shall provide Potentially DVR Eligible Students a minimum of (4) hours of Job Exploration Counseling within a 12-month period starting with the date a Student begins their initial training;
  - (a) Job Exploration Counseling for DVR-Potentially Eligible Students shall not exceed 60 hours;
  - (b) Job-Exploration Counseling must be provided in consecutive increments of time;
    - i. Consecutive days in one week; or
    - ii. Consecutive weeks within the same calendar month;
  - (c) The Contractor shall collect a sign-in sheet with Student names attending each training session and maintain a log of each Student's training hours to ensure that the maximum of 60 hours per Student is not exceeded.
- (4) The Contractor shall collect a Pre-ETS Student Roster sign-in sheet of Student names to the DVR Regional Transition Consultant or designee at least fifteen (15) business days prior to commencement of each Job Exploration Counseling; this will enable DVR to ensure there is not a duplication of services.
- (5) The Contractor shall use the evidence-based curricula posted on DVR's internet page, located at: <https://www.dshs.wa.gov/dvr/pre-employment-transition-services-pre-ets>, as content for the delivery of Job Exploration Counseling, or the Contractor may use other training curricula, but it must be reviewed and approved in advance by the DVR Pre-ETS Program Manager.

### **b. Work-Based Learning Experiences**

#### **Group-Setting**

- (1) Work-Based Learning Experiences are in-school or after-school opportunities, or experiences outside the traditional school setting, that use the workplace or real work to provide Students with disabilities the knowledge and skills that connect school experiences to real-life work activities and future career opportunities. The contractor shall provide work-based learning experiences to DVR potentially Eligible Students including:
  - (a) Coordinating a school-based program of job training and informational interviews to research employers;
  - (b) Worksite tours to learn about necessary job skills;
  - (c) Job shadow Visits; and
  - (d) Mentoring opportunities in the community.
  - (e) The contractor may provide Work-Based Learning Experiences on other topics than those listed above with prior approval from the Pre-ETS Program Manager.
- (2) The Contractor shall provide Potentially DVR Eligible Students a minimum of (4) hours of Work-Based Learning Experiences within a 12-month period starting with the date a Student begins their initial training;
  - (a) Work-Based Learning Experiences for DVR-Potentially Eligible Students shall not exceed 60

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hours;

- (b) Work-Based Learning Experiences must be provided in consecutive increments of time;
  - i. Consecutive days in one week; or
  - ii. Consecutive weeks within the same calendar month;

### **Paid Internships for Individual Students**

- (3) Work experiences to explore DVR-Potentially Eligible Student's areas of interest through paid internships;
  - (a) Work-Based Learning Paid Internship means activities where a DVR-Potentially Eligible Student is placed into a competitive, integrated, real work setting, outside of the traditional school setting where they get paid at or above the state prevailing minimum wage for a minimum of (10) hours a week, to perform a non-permanent job at an employer's worksite;
  - (b) The Contractor shall develop the worksite and place DVR-Potentially Eligible Students into a Work-Based Learning Paid Internship.
    - i. Contractors shall ensure each Work-Based Learning Paid Internship placement is for a minimum of (40) hours per student.
    - ii. The contractor shall develop and place a Student into a Work-Based Learning Paid Internship for (120) hours per student.
      - (A) The contractor shall develop additional Work-Based Learning Paid Internships in consultation with the RTC, when the initial experience is not successful;
    - iii. The Contractor shall observe Student's work and provide feedback on observations at the worksite;
    - iv. The contractor shall collect feedback about the Student's work activities from the employer where the Student has been placed into a Work-Based Learning Paid Internship. The contractor shall share the collected feedback with the student;
    - v. Each Work-Based Learning Paid Internship shall not exceed (12) weeks;
    - vi. All Work-Based Learning Paid Internships must be provided in consecutive increments of time;
      - (A) Consecutive days in one week; and
      - (B) Consecutive weeks within the same calendar month;
      - (C) DVR will not pay for any wages that exceed 120 hours;
  - (c) The Contractor shall maintain accurate time sheets that document the dates and hours that a Student participates in a Paid Work-Based Learning Experience.
  - (d) The Contractor shall collect a sign-in sheet with Student names attending each training session and maintain a log of each Student's training hours to ensure that the maximum of 120

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hours per Student is not exceeded.

- (4) The Contractor shall submit a Pre-ETS Student Roster sign-in sheet of Student names to the DVR Regional Transition Consultant or designee at least fifteen (15) business days prior to commencement of Work-Based Learning Experiences and Work-Based Learning Paid Internships; this will enable DVR to ensure there is not a duplication of services.
- (5) The Contractor shall use the evidence-based curricula posted on DVR's internet page, located at: <https://www.dshs.wa.gov/dvr/pre-employment-transition-services-pre-ets>, as content for the delivery of Individual Work-Based Learning Experiences or the Contractor may use other training curricula, but it must be reviewed and approved in advance by the DVR Pre-ETS Program Manager.

c. **Counseling on Opportunities for Enrollment in Comprehensive Transition or Postsecondary Educational Programs at Institutions of Higher Education.**

- (1) In a group setting to Students with disabilities the contractor provides information on:
  - (a) Transition from High-School to College;
    - i. Educate Students on differences between high school and college/post-secondary training programs.
    - ii. Invite recent HS graduates, including those with disabilities, to talk about their experiences transitioning to college.
  - (b) Resources that may be used to support Student success in education and training, which may include disability support services;
    - i. Counsel Students regarding the importance of networks of support, independent living options and community participation in relation to participating in post-secondary education opportunities.
    - ii. Educate Students about accommodations and resources available at college disability service offices.
    - iii. Research financial aid opportunities such as Pell grants, ABLE (Achieving a Better Life Experience) accounts, and PASS (Plan to Achieve Self-Support) plans.
    - iv. Offer lessons on financial planning and budgeting for college.
  - (c) Exploration of Post-Secondary Educational Programs at Institutions of Higher Education;
    - i. Plan and arrange visits to local post-secondary education campuses;
    - ii. Review/discuss:
      - (A) examples of college applications
      - (B) scholarship and grant applications
      - (C) accommodations for college entrance testing, SAT/ACT.

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- iii. Coordinate opportunities for Students to participate in events at local college campuses
- (d) The contractor may provide Counseling on Opportunities for Enrollment in Comprehensive Transition or Postsecondary Educational Programs at Institutions of Higher Education on other topic areas with prior approval from the Pre-ETS Program Manager.
- (2) The Contractor shall provide Potentially DVR Eligible Students a minimum of (4) hours of Counseling on Opportunities for Enrollment in Comprehensive Transition or Postsecondary Educational Programs within a 12-month period starting with the date a Student begins their initial training;
  - (a) Counseling on Opportunities for Enrollment in Comprehensive Transition or Postsecondary Educational Programs for DVR-Potentially Eligible Students shall not exceed 60 hours;
  - (b) Counseling on Opportunities for Enrollment in Comprehensive Transition or Postsecondary Educational Programs Experiences must be provided in consecutive increments of time;
    - i. Consecutive days in one week; or
    - ii. Consecutive weeks within the same calendar month;
  - (c) The Contractor shall collect a sign-in sheet with Student names attending each training session and maintain a log of each Student's training hours to ensure that the maximum of 60 hours per Student is not exceeded.
- (3) The Contractor shall submit a Pre-ETS Student Roster sign-in sheet of Student names to the DVR Regional Transition Consultant or designee at least fifteen (15) business days prior to commencement of each post-secondary counseling opportunity; this will enable DVR to ensure there is not a duplication of services.
- (4) The Contractor shall use the evidence-based curricula posted on DVR's internet page, located at: <https://www.dshs.wa.gov/dvr/pre-employment-transition-services-pre-ets>, as content for the delivery of Counseling on Opportunities for Enrollment in Comprehensive Transition or Postsecondary Educational Programs at Institutions of Higher Education or the Contractor may use other training curricula, but it must be reviewed and approved in advance by the DVR Pre-ETS Program Manager.

### **d. Workplace Readiness Training**

- (1) The contractor provides Workplace Readiness Training which provides opportunities for Students to learn about and develop both social skills and independent living.
  - (a) Provide workshops on workplace behavior, understanding employer expectations for punctuality and performance, and other soft skills necessary for employment;
    - i. Provide opportunities for Students to learn and practice personal care;
    - ii. Provide opportunities for Students to practice problem-solving skills, conflict resolution, and adaptability/flexibility through various workplace scenarios.
  - (b) Financial literacy;
    - i. Provides opportunities for the Student to understand financial concepts and money

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management including training on the impact of government assistance.

### **(c) Orientation and mobility skills**

- i. Coordinate opportunities for Students to learn how to communicate effectively on the job (e.g. verbal, written, other communication devices), understand the importance of body language, act professionally and interact appropriately with supervisors and co-workers,

### **(d) Job-seeking skills**

- i. Assist Students in creating their resume/portfolio, practice filling out on-line job applications and accounts, understanding disclaimers, use of an identified signature, and upload documents such as resumes, cover letters, transcripts, etc.
- ii. Conduct mock interviews with real employers to practice interviewing skills.

(e) The contractor may provide Work-Readiness Training on other topic areas with prior approval from the Pre-ETS Program Manager.

(2) The Contractor shall provide Workplace Readiness Training to Potentially DVR-Eligible Students over the contracted period.

(3) Contractor shall provide Potentially DVR Eligible Students a minimum of (4) hours of Workplace-Readiness Training within a 12-month period starting with the date a Student begins their initial training;

(a) Workplace-Readiness Training for DVR-Potentially Eligible Students shall not exceed 60 hours;

(b) Workplace-Readiness Training must be provided in consecutive increments of time;

- i. Consecutive days in one week; or
- ii. Consecutive weeks within the same calendar month;

(c) The Contractor shall collect a sign-in sheet with Student names attending each training session and maintain a log of each Student's training hours to ensure that the maximum of 60 hours per Student is not exceeded.

(4) The Contractor shall submit a Pre-ETS Student Roster sign-in sheet of Student names to the DVR Regional Transition Consultant or designee at least fifteen (15) business days prior to commencement of each Workplace Readiness Training; this will enable DVR to ensure there is not a duplication of services.

(5) The Contractor shall use the evidence-based curricula posted on DVR's internet page, located at: <https://www.dshs.wa.gov/dvr/pre-employment-transition-services-pre-ets>, as content for the delivery of Workplace Readiness Training, or the Contractor may use other training curricula, but it must be reviewed and approved in advance by the DVR Pre-ETS Program Manager.

### **e. Self-Advocacy Training**

(1) The contractor provides opportunities for Students with disabilities to learn about rights, responsibilities, and how to request accommodations or services and supports needed during the

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transition from secondary to postsecondary education and employment. Self-advocacy instruction teaches Students with disabilities to articulate their needs and make informed decisions about the supports necessary to meet those needs.

Self-advocacy instruction may include peer mentoring from individuals with disabilities working in competitive integrated employment. The contractor provides self-advocacy training through workshops which address at least one of the self-advocacy topics below:

(a) Developing goals;

- i. Have the Student establish relevant personal self-advocacy goals for the year (for example, keeping a calendar, making medical appointments, ordering books in alternate formats).

(b) Time management and organization;

- i. Provide opportunities for Students to practice discussing their individual strengths and challenges and how their disability may impact work performance.

(c) Balanced life planning;

- i. Offer lessons on decision-making (including supported decision-making), and opportunities for Students to learn goal-setting and attainment, and practice problem-solving.

(d) Peer support;

- i. Connect Students with peer mentors to talk about their experiences with self-advocacy in employment and/or post-secondary training.

(e) Mentoring groups;

- i. Provide opportunities for Students to participate in youth leadership groups and/or activities in educational or community settings to help them learn and demonstrate independence, leadership skills, assertiveness, listen to other's opinions, and evaluate options.

(f) Accessing community resources such as health care, recreation, and social opportunities;

- i. Offer lessons on disability disclosure, how to advocate for their rights and responsibilities, and use role playing activities to allow Students to practice.
- ii. Encourage and support Students to lead their own IEP meeting. Identify existing resources to teach Students how to prepare for (e.g. ppt presentations, video clips, etc.), and lead the meeting.

(g) Using assistive technology to manage life skills.

- i. Instruct Students on how to identify support needs, explore websites such as the Job Accommodation Network (JAN), and request and utilize accommodations and/or modifications in a variety of settings

(h) The contractor may provide Self-Advocacy Training on other topic areas with prior approval from the Pre-ETS Program Manager.

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- (2) The Contractor shall provide Self-Advocacy Training to Potentially DVR-Eligible Students over the contracted period.
- (3) Contractors shall provide Potentially DVR Eligible Students a minimum of (4) hours of Self-Advocacy Training within a 12-month period starting with the date a Student begins their initial training;
  - (a) Self-Advocacy Training for DVR-Potentially Eligible Students shall not exceed (60) hours;
  - (b) Self-Advocacy Training must be provided in consecutive increments of time;
    - i. Consecutive days in one week; or
    - ii. Consecutive weeks within the same calendar month;
  - (c) The Contractor shall collect a sign-in sheet with Student names attending each training session and maintain a log of each Student's training hours to ensure that the maximum of 60 hours per Student is not exceeded.
- (4) The Contractor shall submit a Pre-ETS Student Roster sign-in sheet to the DVR Regional Transition Consultant or designee at least fifteen (15) business days prior to commencement of each Self-Advocacy Training; this will enable DVR to ensure there is not a duplication of services.
- (5) The Contractor shall use the evidence-based curricula posted on DVR's internet page, located at: <https://www.dshs.wa.gov/dvr/pre-employment-transition-services-pre-ets>, as content for the delivery of Self-Advocacy Training, or the Contractor may use other training curricula, but it must be reviewed and approved in advance by the DVR Pre-ETS Program Manager.
- (6) Students may receive Self-Advocacy Training through Peer Mentoring Experiences.
  - (a) Peer Mentoring Experiences are subject to the same requirements as other Self-advocacy Training and shall count toward the maximum hours of Self-advocacy Training for the Students receiving the Peer Mentoring.

### 5. Deliverables

#### a. Job Exploration Counseling

- (1) At the conclusion of the Job Exploration Counseling each Student completing activities shall receive a Job Exploration Counseling Service Delivery Outcome Report, which clearly identifies Student Skill completion/ acquisition. This document shall be prepared by the contractor and a copy will be presented to the Student. A copy will also be included in the monthly billing report.
  - (a) Job Exploration Counseling Service Delivery Outcome Report;
    - i. The contractor shall identify the outcome indicator(s) in (A)-(F) below that aligns with the topic area in which Job Exploration Counseling was provided (e.g. In Demand Occupations).
      - (A) The Student's personal interests, values, personality traits, and current skills;
      - (B) The Student demonstrates an understanding of the required skills, certifications, and/or post-secondary training requirements identified for in-demand jobs;



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- (C) Information about jobs in the community, state, and country that are available and that has been accessed by the Students;
- (D) At least three career choices related to the Students personal interests and values;
- (E) How the Students have identified the tasks, work environment, training and salary for the career choices related to their personal interests and values;
- (F) How the Student has researched Local/State labor market information that matches stated career interest(s);

(2) At the conclusion of the Job Exploration Counseling each Student completing activities shall receive an opportunity to complete an evaluation of the Job Exploration Counseling that includes a section for self-reflection.

### b. **Work-Based Learning Experiences**

(1) At the conclusion of the Work-Based Learning Experience each Student completing activities shall receive a Work-Based Learning Outcome Report, which clearly identifies Student Skill completion/acquisition. This document shall be prepared by the contractor and a copy will be presented to the Student. A copy will also be included in the monthly billing report.

(a) Work-Based Learning Service Delivery Outcome Report;

- i. The contractor shall identify the outcome indicator(s) in (A)-(E) below that aligns with the format in which the Work-Based Learning Experience was provided (e.g. Job Site Tours);

(A) The Student learns job skills related to the expectations set for a position;

(B) The Student receives guidance from people practicing in an industry;

(C) The Student understands how to ask for assistance from co-workers and/or supervisors;

(D) The Student participates in job shadowing experience(s)/job site tour(s)

(E) The Student demonstrates an understanding of how the number of hours worked correlates to the employer's pay period, and wages earned.

(2) At the conclusion of the Work-Based Learning Experience each Student completing activities shall receive an opportunity to complete an evaluation of the Work-Based Learning Experience that includes a section for self-reflection.

### c. **Counseling on Opportunities for Enrollment in Comprehensive Transition or Postsecondary Educational Programs at Institutions of Higher Education.**

(1) At the conclusion of counseling activities each Student completing activities shall receive a Post-Secondary Counseling Service Delivery Outcome Report, which clearly identifies Student Skill completion/ acquisition. This document shall be prepared by the contractor and a copy will be presented to the Student. A copy will also be included in the monthly billing report.

(a) Post-Secondary Counseling Service Delivery Outcome Report;

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- i. The contractor shall identify the outcome indicator(s) in (A)-(D) below that aligns with the topic area in which Post-Secondary Counseling was provided (e.g. Transition from High-School to College);
  - (A) The Student demonstrates an understanding of the difference between high school and college or other postsecondary training;
  - (B) The Student demonstrates an understanding of the application and admission process for post-secondary education;
  - (C) The Student's knowledge of accommodations and resources at post-secondary training institutions;
  - (D) The Student's knowledge of post-secondary financial aid opportunities and financial support accounts for Students with disabilities.
- (2) At the conclusion of Post-Secondary Counseling activities each Student completing activities shall receive an opportunity to complete an evaluation of the post-secondary counseling that includes a section for self-reflection.

### d. **Workplace Readiness Training**

- (1) At the conclusion of the Workplace Readiness Training each Student completing activities shall receive a Workplace-Readiness Training Service Delivery Outcome Report, which clearly identifies Student Skill completion/ acquisition. This document shall be prepared by the contractor and a copy will be presented to the Student. A copy will also be included in the monthly billing report.
  - (a) Workplace-Readiness Training Service Delivery Outcome Report;
    - i. The contractor shall identify the outcome indicator(s) in (A)-(H) below that aligns with the topic area in which Workplace Readiness Training was provided (e.g. Developing Goals).
      - (A) The Student demonstrates an understanding of appropriate social skills to use in the workplace, and an understanding of how to interact appropriately with co-workers and supervisors;
      - (B) The Student demonstrates an understanding of the importance of meeting deadlines and/or performing job tasks in a timely manner; and can effectively use a computer or smart phone to manage workplace meetings or clock in.
      - (C) The Student demonstrates an understanding of how much money they need to earn in order to live independently;
      - (D) The Student demonstrates an understanding of appropriate cash currency, how to use an ATM, the difference between credit and debt, can define income, expenses, or a budget, and how to actively manage their money.
      - (E) The Student demonstrates an understanding of the appropriate social skills needed in the workplace, and how to interact appropriately with co-workers and supervisors;
      - (F) The Student demonstrates an understanding where to look for work and how to effectively conduct a job search;

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(G) The Student can write a resume tailored to their job search;

(H) The Student can complete job applications or other required forms;

(2) At the conclusion of the Workplace Readiness Training each Student completing activities shall receive an opportunity to complete an evaluation of the Work-Readiness Training that includes a section for self-reflection.

### e. Self-Advocacy Training

(1) At the conclusion of the Self-Advocacy Training each Student completing activities shall receive a Workplace-Readiness Training Outcome Report, which clearly identifies Student Skill completion/acquisition. This document shall be prepared by the contractor and a copy will be presented to the Student. A copy will also be included in the monthly billing report.

#### (a) Self-Advocacy Training Service Delivery Outcome Report

i. The contractor shall identify the outcome indicator(s) in (A)-(E) below that aligns with the topic area in which Self Advocacy Training was provided (e.g. In Demand Occupations);

(A) The Student has gained the ability to identify goals and problem solve;

(B) The Student can identify the necessary assistive technology, accommodations, and needed supports;

(C) The Student can request and accept help in the workplace or post-secondary educational programs.

(D) The Student has gained or improved their ability to understand their legal rights and responsibilities in a workplace setting, post-secondary educational programs, and community;

(E) How the Student has gained independence, listening and leadership skills.

(2) At the conclusion of the Self-Advocacy Training each Student completing activities shall receive an opportunity to complete an evaluation of the Self-Advocacy Training that includes a section for self-reflection.

## 6. Outreach, Recruitment, and Coordination.

a. The Contractor shall document the coordinated delivery of contracted services with the DVR Regional Transition Consultant or designated DVR liaison, on Exhibit (J) the Pre-ETS Outreach Report form.

b. Marketing, educational, and outreach materials shall be developed in collaboration with the DVR Pre-Employment Transition Services Program Manager.

Pre-ETS Program Manager  
DSHS/DVR  
PO Box 45340  
Olympia WA 98504-5340  
Or by email to:

c. Distribution of marketing, educational, and outreach materials shall be coordinated with the DVR

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Regional Transition Consultant.

, Regional Transition Consultant

Or by email to:

- d. The Contractor shall clearly identify on all marketing and outreach materials that services provided by this contract are provided in collaboration with DVR the statement below:

“These services were developed in partnership with the Washington State Department of Social and Health Services, Division of Vocational Rehabilitation.”

- e. Additionally, all marketing and outreach materials will have the DSHS DVR branding logo on them provided by the Pre-ETS Program Manager.
- f. The Contractor shall provide equitable access and outreach to serve a diverse Student base, including Students from culturally and linguistically diverse communities. Outreach shall include, but is not limited to, recruitment of Students with a variety of disabilities. Disabilities may include the following: Specific Learning Disabilities, Emotional-Behavioral Disorders, Autism, Intellectual-Developmental Disabilities, Deaf/Hard of Hearing, Deaf/Blind, Mobility Impaired, etc.
- g. The Contractor shall schedule the Required activities outlined in the Statement of Work in a manner that does not conflict with a Student’s in-school required classes and activities, to include year-round before and after school, weekend, and summer opportunities.

### 7. Reports.

On a monthly basis, the Contractor shall provide DVR with the following, submitted in an electronic format:

- a. Signed A19-1A Invoice
- b. Accurate billing to reference Student data and services completed during the month along with:
- (1) Copies of **Exhibit B** – DSHS/DVR Pre-Employment Transition Services Approval form, DSHS 11-122 (12/2021), completed for each New Student who participated in any of the services outlined in the Statement of Work;
  - (2) Copies of **Exhibit I** Pre-ETS Student Roster- Sign-in Sheet, DSHS 11-114;
  - (3) Copies of Student time sheets that correspond with the dates and hours that a Student spent participating in a Work-Based Learning Paid Internship;
    - (a) Copies of Student paystubs that correspond with the dates on which the student was paid wages for participation in a Work-Based Learning Paid Internship.
  - (4) A summary that provides an overview of outreach and recruitment activities during the month, as specified in Section 6 above;
  - (5) Copies of Service Delivery Outcome Reports;
  - (6) Copies of Student evaluations.

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- c. DVR expects the WAVES Case Management System to go live during the term of this Contract. At that time, DVR shall send a management letter to the Contractor Contact listed on Page 1 of this Contract. The management letter will include reference instructions for using WAVES. Upon delivery of the management letter, the Contractor shall be required to submit reports electronically to the WAVES Case Management System.
- d. When sending electronic reports, documents, and/or data to DVR, the Contractor shall adhere to data security requirements specified in **Exhibit A** – “Data Security Requirements.”

### 8. Consideration.

Total maximum consideration payable to the Contractor for satisfactory performance of the work under this Contract is \_\_\_\_\_ and shall be based on the following:

- a. Fees shall be paid according to **Exhibit D** - Pre-Employment Transition Services Fee Schedule.
- b. Any increase or decrease in consideration shall be identified in an updated **Exhibit D** – Pre-Employment Transition Services Fee Schedule. Any change to the Fee Schedule shall be incorporated into this Contract by reference and posted on DVR’s internet page at: <https://www.dshs.wa.gov/dvr/pre-employment-transition-services-pre-ets>. The Contractor shall be notified by DVR of any changes to the Fee Schedule.

### 9. Subcontracting.

DVR reserves the right to approve or deny the Contractor staff, and any Subcontractor(s) the Contractor assigns or contracts with, to perform the work required under the terms of this Contract. The Contractor must have DVR approval before subcontracting. See also General Terms and Conditions, Section 24.

- a. The Contractor shall submit the following documentation to DVR for review and approval before engaging in subcontracts for the services described in this Contract:
  - (1) A completed **Exhibit F**—DSHS Checklist Request for Approval to Subcontract form, DSHS 17-265 (01/2019);
  - (2) A copy of the proposed subcontract;
  - (3) Proof of the Subcontractor’s insurance, showing compliance with Special Terms and Conditions, Section 14, of this contract; and
  - (4) A copy of the Subcontractor’s valid Washington State Business License.
- b. The Contractor shall submit all required documentation for approval to:  
  
Pre-ETS Program Manager  
DSHS/DVR  
PO Box 45340  
Olympia WA 98504-5340  
Or by email to:
- c. Subcontractors approved to provide services under this contract are subject to all terms and conditions of this contract.
- d. The Contractor shall be responsible for ensuring Subcontractors comply with reporting requirements,

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background check requirements, and Exhibits as specified in this contract.

### 10. Billing and Payment.

- a. Invoice System. The Contractor shall submit an invoice electronically, for each month that services were provided, no later than the fifteenth (15) calendar day of the following month. The fees shall be in accordance with those set forth in Special Terms and Conditions, Section 7, Consideration, of this contract. The invoice must be accompanied by all of the items specified in Special Terms and Conditions, Section 6, Reports, of this contract
  - (1) The Contractor shall not bill for a Work-Based Learning Paid Internship until a Student has completed their Work-based Learning experience (no less than 40 hours, not to exceed 120 hours)
    - (a) Once the contractor fee has been paid, the Work-Based Learning Paid Internship is considered complete. No additional hours may be billed.
  - (2) The Contractor shall not bill and DVR will not pay for any services that exceed the contract's maximum funding consideration.
- b. Insufficient documentation or delay in the receipt of an invoice and/or reports will result in a delay of payment to the Contractor.
- c. The Contractor shall submit the invoice and reports via email to the Regional Transition Consultant or designee. Upon receipt of a management letter as specified in Special Terms and Conditions Section 6, Reports, paragraph c., The Contractor shall submit all future invoices and reports to the WAVES Case Management System.
- d. The contractor is responsible for checking for completeness, and mathematical accuracy prior to submission so that services are billed according to agreed deliverables and considerations.
- e. Payment. Payment shall be approved by the Pre-ETS Program Manager or designee and considered timely if made by DVR within thirty (30) days after receipt and acceptance of the properly completed invoice and reports. Payment shall be sent to the address designated by the Contractor on page 1 of this Contract. DVR may, at its sole discretion, withhold payment claimed by the Contractor for services rendered if the Contractor fails to satisfactorily comply with any term or condition of this Contract.

### 11. Investigations of Contractor or Related Personnel.

- a. DSHS may, without prior notice, suspend the Contract if the Contractor, or any partner, officer or director of the Contractor, or a Subcontractor, or any employee or volunteer of the Contractor or a Subcontractor, is investigated by DSHS or a local, county, state or federal agency regarding any matter that, if ultimately established, could either:
  - (1) Result in a conviction for violating a local, state, or federal law; or
  - (2) In the sole judgment of DSHS, adversely affect the delivery of services under this Contract or the health, safety, or welfare of Students.
- b. DSHS may also take other lesser action, including, but not limited to, disallowing a staff member, employee, or other individual associated with the Contractor or a Subcontractor, from providing services, or from having contact with Students, until the investigation is concluded and a final determination made by the investigating agency.

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### 12. Removal of Individuals from Performing Services.

- a. In the event that any of the Contractor's employees, Subcontractors, or volunteers who provide services under this Contract do not meet qualifications required by this Contract or do not perform the services as required in this Contract, DSHS may require that the Contractor remove such individual or entity from providing services to Students under this Contract.
- b. DSHS shall notify the Contractor of this decision verbally and in writing and the Contractor shall, within twenty-four (24) hours, remove that individual or entity from providing direct services to Students. Failure to do so may result in a Corrective Action Plan (CAP).

### 13. Compliance with Corrective Action Plan (CAP).

In the event that DSHS identifies deficiencies in the Contractor's performance under this Contract, DSHS may establish a CAP. When presented with a CAP, the Contractor agrees to undertake the actions specified in the plan within the timeframes given to correct the deficiencies. The contractor's failure to do so shall be grounds for termination of this Contract.

### 14. Insurance

The Contractor shall obtain and maintain for the duration of the Contract, at Contractor's expense, the following insurance coverages, and comply with the following insurance requirements.

#### a. General Liability Insurance

The Contractor shall maintain Commercial General Liability Insurance or Business Liability Insurance, no less comprehensive than coverage under Insurance Service Offices, Inc. (ISO) form CG 00-01, including coverage for bodily injury, property damage, and contractual liability. The amount of coverage shall be no less than \$1,000,000 per occurrence and \$2,000,000 General Aggregate. The policy shall include liability arising out of the parties' performance under this Contract, including but not limited to premises, operations, independent contractors, products- completed operations, personal injury, advertising injury, and liability assumed under an insured contract. The State of Washington, Department of Social & Health Services (DSHS), its elected and appointed officials, agents, and employees of the state, shall be named as additional insureds.

In lieu of general liability insurance mentioned in Subsection a. above, if the Contractor is a sole proprietor with less than three contracts, the contractor may choose one of the following three general liability policies, but only if attached to a professional liability policy. If selected the policy shall be maintained for the life of the contract:

Supplemental Liability Insurance, including coverage for bodily injury and property damage that will cover the contractor wherever the service is performed with minimum limits of \$1,000,000 per occurrence; and \$2,000,000 General Aggregate. The State of Washington, DSHS, its elected and appointed officials, agents, and employees shall be named as additional insureds;

or

Workplace Liability Insurance, including coverage for bodily injury and property damage that provides coverage wherever the service is performed with minimum limits of \$1,000,000 per occurrence; and \$2,000,000 General Aggregate. The State of Washington, DSHS, its elected and appointed officials, agents, and employees shall be named as additional insureds:

or

## DSHS Special Terms and Conditions

Premises Liability Insurance if services are provided only at their recognized place of business, including coverage for bodily injury, property damage with minimum limits of \$1,000,000 per occurrence; and \$2,000,000 General Aggregate. The State of Washington, DSHS, its elected and appointed officials, agents, and employees shall be named as additional insureds.

b. Workers' Compensation

- c. The Contractor shall comply with all applicable Workers' Compensation, occupational disease, and occupational health and safety laws and regulations. The State of Washington and DSHS shall not be held responsible for claims filed for Workers' Compensation under Title 51 RCW by the Contractor or its employees under such laws and regulations.

### Employees and Volunteers

- d. Insurance required of the Contractor under the Contract shall include coverage for the acts and omissions of the Contractor's employees and volunteers. In addition, the Contractor shall ensure that all employees and volunteers who use vehicles to transport clients or deliver services have personal automobile insurance and current driver's licenses.

e. Separation of Insureds

All insurance policies shall include coverage for cross liability and contain a "Separation of Insureds" provision.

f. Insurers

The Contractor shall obtain insurance from insurance companies identified as an admitted insurer/carrier in the State of Washington, with a current Best's Reports' rating of A-, Class VII, or better.

g. Evidence of Coverage

The Contractor shall, upon request by DSHS, submit a copy of the Certificate of Insurance, policy, and additional insured endorsement for each coverage required of the Contractor under this Contract. The Certificate of Insurance shall identify the Washington State Department of Social and Health Services as the Certificate Holder. A duly authorized representative of each insurer, showing compliance with the insurance requirements specified in this Contract, shall execute each Certificate of Insurance.

The Contractor shall maintain copies of Certificates of Insurance, policies, and additional insured endorsements for each subcontractor as evidence that each subcontractor maintains insurance as required by the Contract.

h. Material Changes

The insurer shall give the DSHS point of contact listed on page one of this Contract 45 days advance written notice of cancellation or non-renewal of any insurance policy required under this Contract. If cancellation is due to non-payment of premium, the insurer shall give DSHS 10 days advance written notice of cancellation. Failure to provide notice as required may result in termination of the Contract.

i. Waiver of Subrogation

Contractor waives all rights of subrogation against DSHS for the recovery of damages to the extent such damages are or would be covered by insurance required under the Contract. Contractor agrees



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to obtain any endorsement that may be necessary to affect this waiver of subrogation, but this provision applies whether or not DSHS receives the waiver of subrogation endorsement from the insurer.

### j. Coverage Limits

By requiring insurance, the State of Washington and DSHS do not represent that the coverage and limits required in this Contract will be adequate to protect the Contractor. Such coverage and limits shall not limit the Contractor's liability in excess of the required coverage and limits, and shall not limit the Contractor's liability under the indemnities and reimbursements granted to the State and DSHS in this Contract.

### k. Primary Coverage

All Contractor's insurance provided in compliance with this Contract shall be primary and shall not seek contribution from insurance or self-insurance programs afforded to or maintained by the State. Insurance or self-insurance programs afforded to or maintained by the State shall be in excess of, and shall not contribute with, insurance required of the Contractor and under this Contract.

### l. Waiver

The Contractor waives all rights, claims and causes of action against the State of Washington and DSHS for the recovery of damages to the extent said damages are covered by insurance maintained by Contractor.

### m. Liability Cap

Any limitation of liability or liability cap set forth in this Contract shall not preclude DSHS from claiming under any insurance maintained by the Contractor pursuant to this Contract, up to the policy limits.

### n. Business Automobile Liability Insurance

The Contractor shall maintain a Business Automobile Policy on all vehicles used to transport clients, including vehicles hired by the Contractor or owned by the Contractor's employees, volunteers or others, with the following minimum limits: \$1,000,000 per accident combined single limit. The Contractor's carrier shall provide DSHS with a waiver of subrogation or name DSHS as an additional insured.

### o. Professional Liability (errors & omissions)

The Contractor shall maintain insurance of at least \$1,000,000 per occurrence, \$2,000,000 General Aggregate for malpractice or errors and omissions coverage against liability for damages because of personal injury, bodily injury, death, or damage to property, including loss of use, and damages because of negligent acts, errors, and omissions in any way related to this contract.

## 15. Background Checks.

- a. Prior to performing services under this contract, the Contractor must obtain a criminal background check through the online DSHS Background Check System for all personnel, interns, or volunteers who may have Unsupervised Access to Students. DVR will pay for background checks for the Contractor's personnel, interns, or volunteers only if they will serve Students and may have Unsupervised Access to these individuals.

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- b. DVR may, at its discretion, request a background check on any director, board member, or other personnel.
- c. The Contractor shall designate an employee contact and backup contact who are authorized to process confidential background checks and accept the results of background checks on its personnel, interns, or volunteers utilizing the online DSHS Background Check System. The Contractor shall submit **Exhibit G** – Background Check System Access Request form, DSHS 17-253 (01/2019), and follow written instructions to be provided by DVR for required access and use of the system to obtain background checks on their personnel, interns, or volunteers who may have Unsupervised Access to Students.
- d. When an employee, intern, or volunteer of the Contractor receives a background check result of “**NO RECORD**”, the Contractor may allow Unsupervised Access to Students.
- e. When an employee, intern, or volunteer of the Contractor receives a background check result of “**REVIEW REQUIRED**”, the Contractor must complete **Exhibit H** - Character, Competence, and Suitability Assessment (CCSA) form, DSHS 03-506 (01/2019), to determine and document whether the employee, intern, or volunteer will be allowed to have Unsupervised Access to Students due to mitigating circumstances.
  - (1) The completed CCSA shall be kept on file with the employee, intern, or volunteer’s DSHS background check results. At any time DVR may ask to view the CCSA or request a copy of the CCSA form.
- f. When an employee, intern, or volunteer of the Contractor receives a background check result of “**DISQUALIFY**” as a result of crimes, convictions, or actions that are on the DSHS Disqualifying List of Crimes and Negative Actions, the Contractor shall ensure that the employee, intern, or volunteer does not have Unsupervised Access to Students. The list can be found at the following website address in the section for programs administered by DSHS, including DSHS state employees in covered positions with access to vulnerable people: <https://www.dshs.wa.gov/ffa/disqualifying-list-crimes-and-negative-actions>.
- g. DSHS background checks shall be conducted:
  - (1) Anytime a new employee, intern, is hired that may have Unsupervised Access to Students;
  - (2) Every two (2) years on existing personnel, interns, or volunteers having Unsupervised Access to Students; or
  - (3) When the Contractor or DVR has reason to believe an employee, intern, or volunteer has committed an offense that may affect the status of his or her Unsupervised Access to Students.
- h. All background checks and related documents shall be retained by the Contractor per DSHS General Terms and Conditions, Section 11, Maintenance of Records, with the following additional considerations:
  - (1) Results of the online DSHS Background Check System for individuals who were hired by the Contractor or existing employees, interns, or volunteers, including RAP sheets or supplemental information provided by the applicant must be stored together in a secure location separated from personnel files and other less confidential documents. Documents include the person’s name, date of birth, aliases, driver’s license, social security number, and confidential background information.
  - (2) Results of the online DSHS Background Check System for individuals who were not hired by the

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Contractor, or existing employees, interns, or volunteers of the Contractor who are denied Unsupervised Access to Students, because of a disqualifying record, including RAP sheets or supplemental information provided by the applicant, must be stored together in a secure location. Documents include the person's name, date of birth, aliases, driver's license number, and social security number, and confidential background information.

### 16. Monitoring.

The Department of Social and Health Services, Division of Vocational Rehabilitation is required to maintain a contract administration system which ensures that contractors perform in accordance with the terms, conditions, and specifications of their contracts. DVR manages and monitors its contracts through conducted risk assessments and monitoring plans. Authority to conduct such reviews is provided by Title 2 of the Code of Federal Regulations (CFR), 34 CFR 80.36, OFM SAAM Policy 16.20.55, DSHS Administrative Policies No. 13.11 and 19.50.30.

### 17. Disputes.

When a dispute arises over an issue concerning the terms of this Contract, the following process is used to address the dispute:

- a. The Contractor and DVR shall attempt to resolve the dispute through informal means between the Contractor and the assigned Regional Transition Consultant. For those contracts where a Regional Transition Consultant is not assigned, the Contractor shall attempt to resolve the dispute with the Pre-Employment Transition Services Program Manager.
- b. If the Contractor is not satisfied with the outcome of the resolution with the Regional Transition Consultant or Pre-Employment Transition Services Program Manager the Contractor may submit a request for review of the disputed issue, in writing, for review within thirty (30) business days of the outcome to:

DVR Director  
DSHS/DVR  
PO Box 45340  
Olympia WA 98504-5340

- c. The Director may appoint a designee to review the disputed issue.
- d. A request for dispute resolution shall include:
  - (1) Name of the requester;
  - (2) Contractor's name, full address, phone number, and email;
  - (3) Contract number;
  - (4) Description of the issue in dispute;
  - (5) A statement describing the requester's position on the issue in dispute, including any documentation that supports this position; and
  - (6) Steps already taken to resolve the dispute.
- e. The reviewer may request additional supporting documentation from either party to assist in reaching

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a fair resolution.

- f. The Director shall issue a written decision to the Contractor within thirty (30) business days of receipt of all information relevant to the issue.
- g. The dispute resolution process described above is the sole administrative remedy available under this Contract.

**18. Exhibits.** The Exhibits listed below are incorporated into the Contract by reference and are agreed to by the parties to constitute a part of or related to the obligations set forth herein. Exhibits A –J are incorporated herein and attached hereto immediately following this Section 18. Exhibits.

- a. The following exhibits are located on the DVR website with the most current version, <https://www.dshs.wa.gov/dvr/pre-employment-transition-services-pre-ets>:

- (1) Exhibit B – DSHS/DVR Pre-Employment Transition Services Approval form, (DSHS 11-122)
- (2) Exhibit C – Pre-ETS Curricula - to be provided by amendment to RFQQ at a later date\*\*\*
- (3) Exhibit D – Pre-Employment Transition Services Fee Schedule
- (4) Exhibit E – Code of Ethics and Standards of Practice, (DSHS 05-252)
- (5) Exhibit F – DSHS Checklist Request for Approval to Subcontract form, DSHS 17-265
- (6) Exhibit G – BCS Access Request form, (DSHS 02-738)
- (7) Exhibit H – Character, Competence, and Suitability Assessment form, (DSHS 03-506)
- (8) Exhibit I – Pre-ETS Student Roster- Sign-in Sheet, (DSHS 11-114)
- (9) Exhibit J – Pre-ETS Outreach Report, (DSHS 11-155)

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### Exhibit A – 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 (<http://nvlpubs.nist.gov/nistpubs/FIPS/NIST.FIPS.197.pdf>).
  - 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. “Business Associate Agreement” means an agreement between DSHS and a contractor who is receiving Data covered under the Privacy and Security Rules of the Health Insurance Portability and Accountability Act of 1996. The agreement establishes permitted and required uses and disclosures of protected health information (PHI) in accordance with HIPAA requirements and provides obligations for business associates to safeguard the information.
  - d. “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. Data classified as Category 4 includes but is not limited to data protected by: the Health Insurance Portability and Accountability Act (HIPAA), Pub. L. 104-191 as amended by the Health Information Technology for Economic and Clinical Health Act of 2009 (HITECH), 45 CFR Parts 160 and 164; the Family Educational Rights and Privacy Act (FERPA), 20 U.S.C. §1232g; 34 CFR Part 99; Internal Revenue Service Publication 1075 (<https://www.irs.gov/pub/irs-pdf/p1075.pdf>); Substance Abuse and Mental Health Services Administration regulations on Confidentiality of Alcohol and Drug Abuse Patient Records, 42 CFR Part 2; and/or Criminal Justice Information Services, 28 CFR Part 20.
  - e. “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 iTunes, Dropbox, Box.com, and many other entities. Enterprise cloud vendors include Microsoft Azure, Amazon Web Services, and Rackspace.
  - f. “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 256 bits 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.
  - g. “FedRAMP” means the Federal Risk and Authorization Management Program (see [www.fedramp.gov](http://www.fedramp.gov)), which is an assessment and authorization process that federal government agencies have been directed to use to ensure security is in place when accessing Cloud computing products and services.
  - h. “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.

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- i. “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.
  - j. “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.
  - k. “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.
  - l. “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.
  - m. “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.
  - n. “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.
  - o. “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 (<https://ocio.wa.gov/policies>) 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:

## DSHS Special Terms and Conditions

- 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, 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, 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.

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- 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) The PIN or password must be at least 5 letters or numbers when used in conjunction with at least one other authentication factor
  - (2) Must not be comprised of all the same letter or number (11111, 22222, aaaaa, would not be acceptable)
  - (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 UserID



## DSHS Special Terms and Conditions

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:

## DSHS Special Terms and Conditions

- (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.
- (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.
- 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 attests 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.

## DSHS Special Terms and Conditions

- (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 and/or DSHS.
- (f) The Data will not be downloaded to non-authorized systems, meaning systems that are not on either the DSHS or Contractor networks.
- (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 FedRAMP certified.

(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.

**7. Data Segregation.**

- a. DSHS 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. And/or,
  - (2) DSHS Data will be stored in a logical container on electronic media, such as a partition or folder dedicated to DSHS Data. And/or,
  - (3) DSHS Data will be stored in a database which will contain no non-DSHS data. And/or,

## DSHS Special Terms and Conditions

- (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.

8. **Data Disposition.** When the contracted work has been completed or when the Data is no longer needed, except as noted above in Section 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:

<b>Data stored on:</b>	<b>Will be destroyed by:</b>
Server or workstation hard disks, or  Removable media (e.g. floppies, USB flash drives, portable hard disks) excluding optical discs	Using a “wipe” utility which will overwrite the Data at least three (3) times using either random or single character data, or  Degaussing sufficiently to ensure that the Data cannot be reconstructed, or  Physically destroying the disk
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 coarse 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](mailto: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.

## Exhibit B



DIVISION OF VOCATIONAL REHABILITATION (DVR)

# Pre-Employment Transition Services Approval

<b>Section 1. Please provide DVR with information about the interested student below:</b>			
LEGAL LAST NAME	LEGAL FIRST NAME	MIDDLE NAME	
PREFERRED NAME	DATE OF BIRTH	SOCIAL SECURITY NUMBER (OPTIONAL)	
MAILING ADDRESS: NUMBER / STREET	CITY	STATE	ZIP CODE
RACE AND ETHNICITY ( <b>REQUIRED</b> FOR ALL SECONDARY / HIGH SCHOOL STUDENTS) Does the student identify as Hispanic or Latino? <input type="checkbox"/> Yes <input type="checkbox"/> No  Federal reporting requires DVR to collect information about the student's race using the categories below. How does the student identify: <input type="checkbox"/> American Indian or Alaska Native <input type="checkbox"/> Black or African American <input type="checkbox"/> Asian <input type="checkbox"/> White <input type="checkbox"/> Native Hawaiian or Other Pacific Islander		GENDER (OPTIONAL) <input type="checkbox"/> Female <input type="checkbox"/> Male <input type="checkbox"/> Does not identify  PHONE (INCLUDE AREA CODE)  <input type="checkbox"/> TTY <input type="checkbox"/> Video  ADDITIONAL PHONE (INCLUDE AREA CODE)  <input type="checkbox"/> TTY <input type="checkbox"/> Video	
If the student's race and ethnicity is not provided, staff must use an observer-identification method. This information was: <input type="checkbox"/> Self-provided <input type="checkbox"/> Observed by staff			
The student named above meets the following requirements for the provision of pre-employment transition services: 1. Is between 14 years of age and 21 years of age; 2. Is attending a secondary / high school, alternative, GED prep, post-secondary or vocational education program; and 3. Is receiving special education services, or is an individual with a disability for purposes of 504 eligibility.			
<b>Please read the following information, sign, and date.</b> <b>If a student is under 18 years of age, consent of a parent or legal guardian is <u>required</u>.</b> <b>For more information about pre-employment transition services, please see the addendum to this form.</b>			
My signature below indicates that I give my permission for the student named in Section 1 of this form to participate in pre-employment transition services as provided by the Department of Social and Health Services, Division of Vocational Rehabilitation (DVR) or its designated contractor.  I permit the transmission of the information on this form, as well as information needed for the provision of pre-employment transition services, between the education agency identified in Section 2 and DVR or its designated contractor as a condition of the student's participation. I understand that information about which services I participate in will be exchanged between DVR and the contractor.  I understand that DVR will utilize some of the information provided for federal reporting and program evaluation purposes, and that DVR will treat this information in a confidential manner as described in WACs 388-891A-0130 and 388-891A-0150. I understand that the Health Insurance Portability and Accountability Act (HIPAA) does not apply to this information, but that other laws may prohibit its re-disclosure without the written consent of the student, parent, or legal guardian.  I understand that I may revoke the consent provided in this form at any time by providing a signed and dated written notice. The consent remains valid as long as the student is a recipient of pre-employment transition services, and is strictly limited to information needed for the provision of pre-employment transition services.			
<input type="checkbox"/> PARENT / <input type="checkbox"/> GUARDIAN / <input type="checkbox"/> ADULT STUDENT SIGNATURE		DATE	PRINTED NAME

**Section 2. To be completed by a school official:**

INSTITUTION AT WHICH STUDENT IS ENROLLED			PHONE (INCLUDE AREA CODE)
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GRADE LEVEL	SCHOOL / DISTRICT STUDENT ID	STATE STUDENT ID (OPTIONAL)	EXPECTED GRADUATION / EXIT DATE
-------------	------------------------------	-----------------------------	---------------------------------

TYPE OF EDUCATION PROGRAM

Secondary / High School     
  Post-Secondary     
  GED Preparation  
 Alternative     
  Vocational Education

**As an official with knowledge of the student identified in Section 1 of this form, and a representative of the education agency listed above, I attest to information below about the disability documentation held by the school and the program through which the student receives accommodations, services, or both.**

**I refer the student to the Department of Social and Health Services, Division of Vocational Rehabilitation (DVR) for the opportunity to participate in activities defined as pre-employment transition services under the Rehabilitation Act. This referral is limited to participation in those activities defined as pre-employment transition services, and is not a referral for application to the vocational rehabilitation program.**

	YES	NO
This student has an accommodation plan under section 504 of the Rehabilitation Act .....	<input type="checkbox"/>	<input type="checkbox"/>
This student has an Individualized Education Program (IEP) .....	<input type="checkbox"/>	<input type="checkbox"/>
This student is an individual with a disability who does not have an IEP or 504 Plan.....	<input type="checkbox"/>	<input type="checkbox"/>

SCHOOL OFFICIAL SIGNATURE	DATE	PRINTED NAME
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### Section 3. Frequently Asked Questions

#### **Q. What are pre-employment transition services?**

A. Pre-employment transition services are a set of opportunities available to students with disabilities to receive meaningful training and other services necessary to become successfully employed. They are organized into five distinct types of activity:

- Job exploration counseling;
- Work-based learning experiences;
- Workplace readiness training;
- Instruction in self-advocacy; and
- Counseling on opportunities for enrollment in comprehensive transition/postsecondary educational programs.

#### **Q. Who pays for pre-employment transition services?**

A. These services are provided through the Department of Social and Health Services, Division of Vocational Rehabilitation (DVR), and they are paid for with state and federal funds.

#### **Q. What rights do I have if I disagree with a decision DVR has made affecting the pre-employment transition services provided to me?**

A. As described in Washington Administrative Code, if DVR makes a decision that affects the VR services provided to you that you don't agree with, you may try to resolve the disagreement by any one of the following or a combination of the following:

- Talk to a VR counselor or the VR supervisor;
- Talk to the DVR director or his or her designee;
- Seek assistance from the client assistance program (CAP), available by phone at 1-800-544-2121;
- Request mediation; and/or
- Request a fair hearing.

You may request a fair hearing and/or mediation while you continue to work with a DVR counselor, VR supervisor or DVR director or designee to resolve the disagreement. A fair hearing request must be filed within 45 days of the adverse decision. If you reach agreement prior to the date of the scheduled mediation or fair hearing, the request may be withdrawn.

**PRE-EMPLOYMENT TRANSITION SERVICES  
EXHIBIT D – FEE SCHEDULE**

Upon DVR's receipt and approval of the Contractor's fully completed reports and billing invoice as described in the Special Terms and Conditions, Section 6, "Reports," payment for Pre-Employment Transition Services shall be made as follows, not to exceed the maximum payable established in Section 7, "Consideration," for the duration of this contract.

**JOB EXPLORATION COUNSELING**

<b>SERVICE</b>	<b>SERVICE HOURS</b>	<b>Contractor Fee</b>	<b>Unit</b>
Vocational Interest Inventory and Results	<b>Minimum (4) hours. Maximum (60) hours</b>	\$61.00	<b>Per Student in a 12 Month Period</b>
In-demand occupations;	<b>Minimum (4) hours. Maximum (60) hours</b>	\$61.00	<b>Per Student in a 12 Month Period</b>
Career Pathways	<b>Minimum (4) hours. Maximum (60) hours</b>	\$61.00	<b>Per Student in a 12 Month Period</b>
Local labor market information	<b>Minimum (4) hours. Maximum (60) hours</b>	\$61.00	<b>Per Student in a 12 Month Period</b>

**COUNSELING ON OPPORUNITIES IN COMPREHENSIVE TRANSTITION OR POST-SECONDARY EDUCATIONAL PROGRAMS**

<b>SERVICE</b>	<b>SERVICE HOURS</b>	<b>Contractor Fee</b>	<b>Unit</b>
Transition from High-School to College	<b>Minimum (4) hours. Maximum (60) hours</b>	\$61.00	<b>Per Student in a 12 Month Period</b>
Resources that may be used to support Student success in education and training, which may include disability support services	<b>Minimum (4) hours. Maximum (60) hours</b>	\$61.00	<b>Per Student in a 12 Month Period</b>
Exploration of Post-Secondary Educational Programs at Institutions of Higher Education;	<b>Minimum (4) hours. Maximum (60) hours</b>	\$61.00	<b>Per Student in a 12 Month Period</b>

**WORKPLACE READINESS TRAINING**

<b>SERVICE</b>	<b>SERVICE HOURS</b>	<b>Contractor Fee</b>	<b>Unit</b>
Provide workshops on workplace behavior, understanding employer expectations for punctuality and performance, and other soft skills necessary for employment	<b>Minimum (4) hours. Maximum (60) hours</b>	\$61.00	<b>Per Student in a 12 Month Period</b>
Financial Literacy;	<b>Minimum (4) hours. Maximum (60) hours</b>	\$61.00	<b>Per Student in a 12 Month Period</b>
Orientation and Mobility Skills	<b>Minimum (4) hours. Maximum (60) hours</b>	\$61.00	<b>Per Student in a 12 Month Period</b>
Job-Seeking Skills	<b>Minimum (4) hours. Maximum (60) hours</b>	\$61.00	<b>Per Student in a 12 Month Period</b>

**WORK-BASED LEARNING EXPERIENCE**

<b>SERVICE</b>	<b>SERVICE HOURS</b>	<b>Contractor Fee</b>	<b>Unit</b>
Coordinating a school-based program of job training and informational interviews to research employers	<b>Minimum (4) hours. Maximum (60) hours</b>	\$61.00	<b>Per Student in a 12 Month Period</b>
Worksite Tours to learn about necessary job skills	<b>Minimum (4) hours. Maximum (60) hours</b>	\$61.00	<b>Per Student in a 12 Month Period</b>
Job Shadow Visits	<b>Minimum (4) hours. Maximum (60) hours</b>	\$61.00	<b>Per Student in a 12 Month Period</b>
Mentoring Opportunities in the Community	<b>Minimum (4) hours. Maximum (60) hours</b>	\$61.00	<b>Per Student in a 12 Month Period</b>

**SELF-ADVOCACY TRAINING**

<b>SERVICE</b>	<b>SERVICE HOURS</b>	<b>Contractor Fee</b>	<b>Unit</b>
Developing Goals	<b>Minimum (4) hours. Maximum (60) hours</b>	\$61.00	<b>Per Student in a 12 Month Period</b>



Time Management and Organization	<b>Minimum (4) hours. Maximum (60) hours</b>	\$61.00	<b>Per Student in a 12 Month Period</b>
Balanced Life Planning	<b>Minimum (4) hours. Maximum (60) hours</b>	\$61.00	<b>Per Student in a 12 Month Period</b>
Peer Support	<b>Minimum (4) hours. Maximum (60) hours</b>	\$61.00	<b>Per Student in a 12 Month Period</b>
Mentoring Groups	<b>Minimum (4) hours. Maximum (60) hours</b>	\$61.00	<b>Per Student in a 12 Month Period</b>
Accessing community resources such as health care, recreation, and social opportunities.	<b>Minimum (4) hours. Maximum (60) hours</b>	\$61.00	<b>Per Student in a 12 Month Period</b>

**WORK-BASED LEARNING PAID INTERNSHIP**

<b>SERVICE</b>	<b>STUDENT WORK HOURS</b>	<b>Contractor Fee</b>	<b>Unit</b>
<b>Work-Based Learning Paid Internship</b>	<b>At least 40 hours, not to exceed 120 hours per 12 month period</b>	\$2,500.00	<b>Per Student in a 12 Month Period</b>

**Work-Based Learning Experiences Contractor fee shall not be billed until the completion of the experience.**

**Once the contractor fee has been paid, the Work-Based Learning Paid Internship is considered complete. No additional hours may be billed.**

**PAID WORK-BASED LEARNING EXPERIENCES - REIMBURSEMENT OF STUDENT WAGES**

The Contractor shall be reimbursed compensation for the amount of wages paid to a student, plus a flat fee of 15.0% for payroll taxes and related personnel costs paid by the Contractor for each Student who participates in a Work-Based Learning Paid Internship. When a Student completes fewer than 40 hours at a Work-Based Learning Paid Internship, the Contractor shall be reimbursed the amount of compensation paid for Student wages, payroll taxes and related personnel costs; but will not be paid the Contractor Fee.

*Students participating in a Work-Based Learning Paid Internship are paid at or above the state prevailing minimum wage to perform a non-permanent job at an employer's worksite.*

## Exhibit E



DIVISION OF VOCATIONAL REHABILITATION (DVR)

# Code of Ethics and Standards of Practice

The following Code of Ethics outlines the guiding principles that should underlie the actions of all individuals and organizations delivering DVR Services to Consumers. Consumers are current DVR Clients, students who are potentially eligible for VR services who are recipients of DVR Pre-employment Transition Services (PreETS), or other individuals who are neither a current DVR client nor a current recipient of PreETS but who are eligible for a service under a DVR contract. The Standards of Practice describe how the Code of Ethics should be applied operationally. These standards will provide a foundation and basis of adjudication should DVR learn of possible ethical violations on the part of DVR Services Contractors who interact with Consumers as defined above.

### **Code of Ethics**

To promote the highest standards of ethical conduct, all personnel of DVR Services Contractors shall:

- Hold paramount the well-being of people served professionally.
- Respect and uphold Consumer rights.
- Uphold the principles of informed choice.
- Practice only in area(s) of competency.
- Respect Consumer privacy and release no information about the Consumer without his/her expressed, written permission.
- Engage in no conduct that constitutes a conflict of interest or that adversely reflects on his or her professional practice.
- Seek only deserved, honest and reasonable monetary reimbursement for services.
- Issue only objective and truthful statements regarding services.
- Comply with the laws and policies that guide professional practice.

### **Standards of Practice**

In the following areas, all personnel of DVR Services Contractors shall:

#### **Respect for DVR Clients, Recipients of PreETS, and Title VII Part B Consumers**

- Hold the Consumer's well-being paramount and consider each Consumer's individuality.
- Not discriminate in the provision of services or products on the basis of disability, race, national origin, religion, creed, gender, age, veteran status, marital status, or sexual orientation.
- Only recommend, support, or implement services that do not expose the Consumer (or others) to unreasonable risk, exploitation, and/or personal injury. Inform the Consumer as fully as possible to all risks.

#### **Informed Choice**

- When recommending services, fully involve the Consumer and inform him or her of all reasonable options available, including costs. These recommendations shall not be limited to anyone's perceptions about the availability of resources.
- Fully inform the Consumer or his or her advocate about all aspects of any final recommendations and make only reasonable statements about expected outcomes.
- Consider the current and future needs of the Consumer when developing recommendations and fully inform the Consumer of those perceived needs.
- Fully and accurately disclose to the Consumer the qualifications of all staff members who will serve them directly.

**Professionalism and Competency**

- Comply with all licensing, credentialing and/or accreditation requirements recognized in their fields of service, and as required by the contract.
- Provide services only within the scope of their competency, taking into account their education, experience, and training and recognizing the limits of their own skills and knowledge in any professional area.
- Take on only those professional commitments and agreements that they can fulfill, and carry out those obligations in a timely way.
- Stay current in all aspects of their professional practice through ongoing education. Topics should include accessibility, funding, legal issues, recommended rehabilitation practices, clinical practice, and emerging services or technologies.
- Not provide professional services, nor allow any representative to provide services, while under the influence of drugs or alcohol or while substance abuse or a health condition influences their judgment.
- Not engage in conduct that reflects adversely on their profession or calls into question their fitness to serve Consumers.
- Avoid any action, intentional or accidental, professional or personal, that would exploit the dependency and trust of the Consumer.

**Service Delivery**

- When the Consumer's best interest requires it, collaborate or "team up" with providers from other professional disciplines for service delivery, in accordance with the vendor's contract with DVR. DVR Services Contractors shall present only complete and factual information about other providers.
- Within the scope of their competency, use every resource reasonably available to meet the Consumer's needs. This may require referring the Consumer to other service providers for services.
- Maintain procedures to measure the effectiveness and efficiency of their operations and to enhance service quality.

**Conflict of Interest**

- Maintain only those **professional** relationships that do not create a real or perceived conflict of interest. DVR Services Contractors shall inform the Consumer or their advocates of any employment relationships, professional affiliations, or fiduciary interests that may be perceived as a conflict of interest. DVR Services Contractors must decline to provide services when any such affiliation or interest is likely to influence their professional judgment.
- Make every effort to avoid **personal** relationships that could influence their professional judgment or be perceived as a conflict of interest.

**Sound Business Practices**

- Not engage in fraud, waste, or abuse when charging for services.
- Be truthful and accurate in all public statements about the services and products they provide.
- Stay within the scope of services agreed upon by the Consumer and DVR.
- Maintain sound business practices and financial records by using Generally Accepted Accounting Principles (GAAP).
- Maintain adequate records of evaluations, assessments, services, recommendations, reports, or products provided and preserve the confidentiality of those records, unless disclosure is required by law, or for the protection of the Consumer or the public.
- Disseminate contract terms and requirements to employees performing work under the contract.

**I acknowledge that I have read and understood the preceding statements, and agree to its terms.**

CONTRACTOR'S SIGNATURE

DATE

PRINTED NAME

TITLE

Exhibit F



DIVISION OF VOCATIONAL REHABILITATION (DVR)

**DSHS / DVR Request for Approval to Subcontract Checklist**

CONTRACTOR'S NAME	CONTRACT NUMBER
CONTRACTED SERVICES TO BE PROVIDED	
PROPOSED SUBCONTRACTOR'S NAME	
<p>The undersigned Contractor has verified, and hereby certifies, that the proposed subcontractor named above meets the following criteria for DSHS approval to subcontract. <b>The proposed contractor:</b></p> <ul style="list-style-type: none"> <li>• Has the qualifications required under the Contract to provide services.  <input type="checkbox"/> Yes    <input type="checkbox"/> No    <input type="checkbox"/> Not applicable</li> <li>• Has staff who meet the qualifications required under the Contract who will provide services.  <input type="checkbox"/> Yes    <input type="checkbox"/> No    <input type="checkbox"/> Not applicable</li> <li>• Has liability insurance coverage and in the amounts as required under the Contract.  <input type="checkbox"/> Yes    <input type="checkbox"/> No    <input type="checkbox"/> Not applicable</li> <li>• Has agreed to adhere to all confidentiality and data security obligations in the Contract.  <input type="checkbox"/> Yes    <input type="checkbox"/> No    <input type="checkbox"/> Not applicable</li> </ul> <p>Explain any "No" or "Not applicable" responses to the above (attach a separate sheet if necessary).</p>	
<p>Contractor understands and acknowledges, by signing below, that:</p> <ul style="list-style-type: none"> <li>• Contractor shall ensure, and shall require of its subcontractor, that services provided by the subcontractor are provided in accordance with the terms and conditions of the Contract; and Contractor is responsible for the acts and omissions of the subcontractor.<sup>1</sup></li> <li>• Contractor shall ensure that the subcontractor and subcontractor's staff who will have unsupervised access to children or vulnerable adults served under the Contract have each completed and received a satisfactory background check before providing services to DSHS clients, as required under the Contract.<sup>2</sup></li> <li>• Contractor shall ensure that the subcontractor has and maintains insurance with the same types and limits of coverage as required of the Contractor under the Contract.<sup>3</sup></li> <li>• Contractor is responsible to ensure that all terms, conditions, assurances and certifications set forth in this Contract are included in the subcontract,<sup>4</sup> including all confidentiality and data security requirements.<sup>5</sup></li> <li>• All contract terms in the above-referenced contract remain in full force and effect and nothing in this Checklist shall be construed as waiver of terms in the above-referenced Contract.</li> <li>• DSHS has the right to withdraw approval for subcontracting if terms of the Contract are not adhered to.</li> </ul>	
CONTRACTOR'S SIGNATURE	DATE
TITLE	
DVR APPROVING MANAGER'S SIGNATURE	DATE
PRINTED NAME AND TITLE	

<sup>1</sup> Subcontracting section and Indemnification and Hold Harmless section, General Terms and Conditions  
<sup>2</sup> Background Checks section, Exhibit \_\_\_\_\_  
<sup>3</sup> Subcontractors subsection of Insurance section, Special Terms and Conditions  
<sup>4</sup> Subcontracting section, General Terms and Conditions  
<sup>5</sup> These include Confidentiality section, General Terms and Conditions and Data Security Requirements Exhibit



Division of Vocational Rehabilitation (DVR)  
Background Check System (BCS)

**Background Check Account Information for Contracting BCS Account**

Brief description of the purpose of checks	<b>External Client Services Provider</b>
Entity Name <sup>1</sup>	
Administration	<b>Secretary's Office (OS)</b>
Division	<b>DVR</b>
Inquiry Type	<b>Provider</b>
Program Contact <sup>2a</sup>	
Phone <sup>2b</sup>	
Secure Fax (if applicable) <sup>2c</sup>	
Mailing Address <sup>2d</sup>	
Address Line 2 <sup>2e</sup>	
Mail City <sup>2f</sup>	
Mail State <sup>2g</sup>	
Mail ZIP <sup>2h</sup>	
Mailstop (if applicable) <sup>2i</sup>	
Site Address (if different from mailing) <sup>3a</sup>	
Site City <sup>3b</sup>	
Site ZIP <sup>3c</sup>	
Region <sup>4</sup>	
County <sup>5</sup>	
Primary Account Administrator Name <sup>6a</sup>	
Primary Account Administrator Email Address <sup>6b</sup>	
Primary Account Administrator Phone Number <sup>6c</sup>	

## Instructions

1. Enter the legal name of the entity or provider who will be providing services under contract with DVR.
- 2a – i. Enter the primary contact information for the entity or provider. Lines 2c, 2e, and 2i are optional and only completed if applicable. For example, if you have a fax number but it is not secure, do not enter it.
- 3a – c. Physical address of the entity or provider if different from the mailing address.
4. The DSHS Region in which the entity or provider is located. If you do not know your region, leave it blank. DVR will fill in the information based on the county you enter.
5. The county in which the entity or provider is located even if you are providing services in another county.
- 6a – c. Information for the employee who will be primarily responsible for managing the provider or entity's BCS account. There must be a primary account administrator and the Primary Account Administrator (PAA) must have a valid email address and phone number.



## Character, Competence, and Suitability Assessment

1. ASSESSMENT DATE		
2. EMPLOYEE / APPLICANT'S NAME		
3. BCCU INQUIRY ID		
4. A. POSITION		
4. B. POSITION NUMBER		
5. OFFICE	6. LOCATION	
7. DUTIES		
8. A (SELECT ONE)	8. B (SELECT ONE)	8. C (SELECT APPROPRIATE BOXES)
<input type="checkbox"/> Applicant <input type="checkbox"/> Current state employee <input type="checkbox"/> Volunteer <input type="checkbox"/> Other:	<input type="checkbox"/> Original / new background check <input type="checkbox"/> Renewal background check <input type="checkbox"/> Self-disclosure	<input type="checkbox"/> State Patrol check <input type="checkbox"/> Awaiting fingerprint check results <input type="checkbox"/> Completed fingerprint check results
<b>9. Reason for background check (select all that apply)</b>		
<input type="checkbox"/> Access to Health Plan Finder** <input type="checkbox"/> Access to criminal justice information <input type="checkbox"/> Access to Federal Tax Information (RCW 41.04.821)** <input type="checkbox"/> Access to other sensitive or confidential information <input type="checkbox"/> Unsupervised access to vulnerable persons (RCW 43.43.837) <input type="checkbox"/> Access to Social Security Administration Systems (40 USC 11331)**		
<input type="checkbox"/> 10. If the negative action(s) <b>or crimes: 1)</b> are not on the <b>relevant</b> list of disqualifying crimes for the program; <b>2) do not appear on the relevant disqualifying list as crimes or negative actions requiring a Character, Competence, and Suitability review;</b> and <b>3)</b> are at the level of gross misdemeanor or below, further completion of this CC&S form and interviewing the candidate is not required. The Appointing Authority must still sign this CC&S form.		
<p><b>Please note: This section is for ESA only and only available if "Reason for background check" identified above is marked with two (2) asterisks (**).</b></p>		

**11. Factors to consider when making a determination include, but are not limited to, the following:**

- The nature and seriousness of the crime or negative action as reported by Background Check Central Unit (BCCU).
- The nature and seriousness of any other behavior or offenses.
- Changed circumstances such as behavior: since conviction, rehabilitation efforts, the length and consistency of employment, changed life circumstances, performance of similar work post-conviction with no known incidents of criminal conduct, completion of court-ordered programs and parole.
- Nature of the applicant duties, powers, and location of work.
- Vulnerability of those under the individual's care, the sensitivity of the accessible information, or potential severity of other harm.
- Pattern or number of crimes, negative actions, other offenses, or behavior that may suggest a heightened risk.
- Circumstances surrounding the crime, negative action, behavior or other offenses.
- Whether the applicant has been reviewed under Background Assessment Review Team (BART) in 2002 (if DSHS determined the employee could remain in a covered position, the applicant or employee will not be disqualified based upon criminal history).

APPLICANT'S NAME
ASSESSMENT DATE

**12. Convictions, pending charges, negative actions, or other issues**

SELF-DISCLOSURE		DESCRIPTION	DATE OF ISSUE(S)	SENTENCING OR INCARCERATION INFORMATION	NUMBER OF YEARS SINCE ISSUE(S)	COMMENTS OR OTHER FACTORS
YES	NO					
<input type="checkbox"/>	<input type="checkbox"/>					
<input type="checkbox"/>	<input type="checkbox"/>					
<input type="checkbox"/>	<input type="checkbox"/>					
<input type="checkbox"/>	<input type="checkbox"/>					

**13. Applicant agrees with results of background check.**

Confirmed    
 Disputed    
 Confirmed **after** working with BCCU on accuracy of check

14. Employee / Applicant's explanation or documentation (optional):

15. Reviewer's recommendation and rationale for applicant's approval or non-approval:

16. SIGNATURE OF REVIEWER DOING ASSESSMENT	DATE
--------------------------------------------	------

17. PRINTED NAME OF REVIEWER DOING ASSESSMENT	TITLE
-----------------------------------------------	-------

18. For current employees, Appointing Authority completes consultation with Human Resources:  Completed

19. Appointing Authority approval to work in position:  Yes  No

20. SIGNATURE OF APPOINTING AUTHORITY	DATE
---------------------------------------	------

21. PRINTED NAME OF APPOINTING AUTHORITY	TITLE
------------------------------------------	-------



**Instructions for completing the Character, Competence, and Suitability Assessment form**  
**Please refer to the Guidelines for Conducting Employee Background Checks**

A Character, Competence, and Suitability (CC&S) review is required when an employee, volunteer or intern has non-disqualifying: conviction(s), pending charge(s), and/or negative actions(s) that appear on a background check result. The purpose of the CC&S assessment is to determine if there are concerns or risks related to an individual's criminal history or negative actions and the job for which they are applying.

1. **Assessment Date:** Date assessment completed
2. **Employee / Applicant's Name:** Name as listed on Background Central Check Unit (BCCU) Notification of Background Check Result
3. **BCCU Inquiry ID:** Each background check has a unique identifier, this number is located on each check
4. **A and B: Position / Position Number:** As listed on job recruitment or employee's current position title or number
5. **Office:** Name of office (administration/office location), i.e. AL TSA - Moses Lake HCS, DDA- Fircrest School, ESA - Kelso CSO
6. **Location:** City where office resides
7. **Duties:** High-level statement about nature of work that is related to the need for a background check.
8. **A.** Select one of the four options
  - 1) Applicant - new hire to State service
  - 2) Current state employee - current state employee in a new position or a current employee receiving a renewal check
  - 3) Volunteer
  - 4) Other - use if the first three options are not relevant**B.** Select one of the three options
  - 1) Original / new background check: This is the first background check being done on an employee or this is a background check for a current state employee going into a new position.
  - 2) Renewal background check: This background check is a renewal for an employee in the same position (for example: a two-year recheck).
    - Note: If nothing has changed on the renewal check and the decision is to keep the employee, perform the following:
      - Complete sections 1-8, 13, and 16-20
      - Skip sections 9-12 and 14-15
      - Attach a copy of the previous CC&S form
  - 3) Self-disclosure: This background check is for a current employee who self-discloses a conviction, pending charge, negative action, or other event after they have been hired.**C.** Select one of the following three options:
  - 1) State Patrol check: Select this option when an employee **only** needs a Name and Date of Birth (NDOB) check. **(NOTE: DO NOT use this option if a fingerprint check is required).**
  - 2) Awaiting fingerprint check results: Select this option when a WA State NDOB check has been completed and you are provisionally hiring an applicant while waiting for fingerprint results.
  - 3) Completed fingerprint check results: Select this option when you have a completed fingerprint result.

**PLEASE NOTE:**

- If you are completing a fingerprint check (which also includes a NDOB check), you may use **ONE** CC&S form to complete the CC&S review.
- Document the applicable criminal history / negative action information from both RAP sheets on one CC&S form. This means you may start the assessment with information from the NDOB (interim results) to make an interim decision, and you may not complete the process until after you have added information from the fingerprint check (results).
- However, you **must** make a determination after each background check type that contains criminal history information but you may change your interim decision to a final decision when you receive the results to take into account any additional information received from the fingerprint check.

**For example:**

Completing a fingerprint check-

- Interim results come back with criminal history that is not disqualifying. Complete CC&S and decide to approve. Results come back with criminal history that is not disqualifying. Add to current CC&S and decide to approve.
  - Interim results come back with criminal history that is not disqualifying. Complete CC&S and decide to approve. Results come back with criminal history that is disqualifying. Add to current CC&S and decide NOT to approve. Change decision on CC&S and stop employee from working (if provisionally hired).
9. **Reason for background check:** Select the option(s) that most closely relates to the employee's position.
    - Access to Health Plan Finder\*\*
    - Access to Federal Tax Information (RCW 41.04.821)\*\*

- Unsupervised access to vulnerable persons (RCW 43.43.837)
- Access to Social Security Administration Systems (40 USC 11331)\*\*
- Access to criminal justice information
- Access to other sensitive or confidential information

For example: Case Manager for ALTSA - The unsupervised access to vulnerable persons would be the option that most closely relates to case management duties.

**10. Does not require a CC&S: For Economic Services Administration only**

If the negative action(s) are not on the list of disqualifying crimes and are at a level of gross misdemeanor or below, further completion of this CC&S form and interviewing the candidate is not required. The Appointing Authority must still sign this CC&S form.

- Skip sections 11-17
- Complete sections 18-20

**11. Factors:** These are suggestions to consider when making a determination

Examples:

- An employee who did not disclose a recent, serious pattern of offenses that relate to the type of work the employee would be doing may not be approved for the position for which they are applying as the behavior may suggest a heightened risk.
- An employee who did not disclose a driving without a license conviction from 20 years ago and has no other convictions on their record may be approved for the position for which they are applying, as the behavior may not suggest a heightened risk.

**12. Convictions, pending charges, negative actions or other issues:**

- Self-Disclosure: Indicates if the employee self-disclosed convictions, pending charges, or negative actions
- Convictions, pending charges, negative actions, or other issues: Write in the criminal history information from the record of arrests and prosecutions (RAP) sheet(s) and negative action information from the Source Section of the Notification of Background Check from BCCU
- Date of issue(s): Use the date of the conviction, pending charge, or negative action found on the RAP sheet
- Sentencing or incarceration information: This information is usually found on the RAP sheet
- Number of years since issue(s): Current year minus year of conviction
- Comments or other factors: Add other relevant information related to the issue  
For example: "Applicant did not self-disclose the driving without a license conviction from 20 years ago but may not have thought this conviction would apply to this situation. This is not a big concern."

**13. Applicant agrees with results of background check:** After discussing the criminal history with the employee, as needed, document if the employee agrees that the conviction(s), pending charge(s), negative action(s) is/are accurate.

- Confirmed: Employee agrees that reported criminal history is accurate
- Disputed: Please refer to the Guidelines for Conducting Employee Background Checks. If needed, direct employee to information on background check to correct results.
- Confirmed after working with BCCU: Employee worked with BCCU to ensure all information was accurate

**14. Employee / Applicant's explanation or documentation (optional):**

- If needed, or wanted, allow the applicant to provide an explanation of the criminal history or negative action. The reviewer would enter or write the explanation provided by the employee / applicant.
- There are instances when no explanation is needed. For example, a conviction for a driving without a license from 20 years ago and no other driving issues reported on record. You may also attach additional documentation from the applicant and indicate that you have done so here.

**15. Reviewer's recommendation and rationale for applicant's approval or non-approval:** Explain the reason for the recommendation of the employee to be approved or denied to work in position.

**16. Signature of reviewer doing assessment and date:** Signature of reviewer and date of review. If the reviewer is delegated the authority to complete this review they must pass the review and recommendation to the Appointing Authority. The form must be approved/denied and signed by the Appointing Authority (Sections 18 – 20).

**17. Printed name of reviewer doing assessment:** Print name and title of the reviewer.

**18. Human Resources Division Consultation.** Appointing authority must consult with Human Resources Division for current employees and mark action complete.

**19. Approval to work for position:** The Appointing Authority selects "Yes" or "No."

**20. Signature of Appointing Authority and date:** Signature of appointing authority and date.

**21. Printed name of Appointing Authority and Title:** Print name and title of appointing authority

**22.** The completed form will be retained by the Appointing Authority and will follow the State Government General Records Retention Schedule.

Exhibit I



DIVISION OF VOCATIONAL REHABILITATION (DVR)  
**Pre-ETS Student Sign-In Roster**

WORKSHOP DATE	WORKSHOP TIME
WORKSHOP LOCATION	WORKSHOP TITLE
SUPERVISING ADULT	WORKSHOP PROVIDED BY:

Name of Student (Type First and Last Names)	Student ID Number	School Student Attends	Student Signature	Current DVR Customer	Consent Form Obtained
				<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
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				<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

VR SIGNATURE / DATE ROSTER SUBMITTED BY:	VR SIGNATURE / DATE STUDENT SIGN-IN RECEIVED BY:
------------------------------------------	--------------------------------------------------

Exhibit J



DIVISION OF VOCATIONAL REHABILITATION (DVR)  
PRE-EMPLOYMENT TRANSITION SERVICES (ETS)

**Pre-ETS Outreach Summary Report**

<b>Workshop Summary</b>				
CURRENT WORKSHOPS	DATE(S)	SCHOOL / PROGRAM	NUMBER OF PARTICIPANTS	APPROVED CURRICULUM RESOURCE
<i>Example: Work Readiness – Soft Skills</i>	<i>Example: 02/01 – 02/15</i>	<i>Example: Mountainside HS</i>	<i>Example: 10 students</i>	<i>Example: Skills to Pay the Bills</i>
DESCRIBE HOW SERVICES WERE ALIGNED WITH STUDENTS' NEEDS, INTERESTS, ABILITIES, AND CAREER GOALS <i>Example: RTC spoke to school staff to identify gaps in services. School identified this as an area of need.</i>				
<b>Outreach Overview</b>				
SCHOOL CONTACTED	DATE	TYPE OF COMMUNICATION	EDUCATION STAFF PARTICIPATION	DVR STAFF PARTICIPATION
<i>Example: Mountainside HS</i>	<i>Example: 03/15/2021</i>	<i>Example: Zoom meeting</i>	<i>Example: Special Education Team</i>	<i>Example: RTC present for the meeting</i>
<b>Future Workshop</b>				
TYPE OF WORKSHOP	DATE(S)	SCHOOL / PROGRAM	HOW WAS DVR INCLUDED IN COORDINATION?	
<i>Example: Self-Advocacy</i>	<i>Example: 02/01 – 02/15</i>	<i>Example: Tacoma Transition Program</i>	<i>Example: RTC shared service flyer with the school and established a meeting with [contractor] and school staff</i>	
<b>DVR / Contractor Monthly Collaboration</b>				
TYPE OF COLLABORATION	DVR STAFF IN ATTENDANCE	DATE OF MEETING	SCHOOL / PROGRAM DISCUSSED	COMMENTS
<i>Example: Monthly check-in with DVR</i>	<i>Example: RTC and DRA</i>	<i>Example: 03/15/2021</i>	<i>Example: Billing documentation missing for services at Riverside HS</i>	<i>Examples may include actions, next steps, trainings requested</i>