

**Exhibit F – Sample Contract
RFQ 1436-522**

 <p>PERSONAL SERVICE CONTRACT DDDS Consultative Psychiatric Examinations</p>		DSHS Contract Number: Resulting From Procurement Number:	
This Contract is between the state of Washington Department of Social and Health Services (DSHS) and the Contractor identified below, and is governed by chapter 39.29 RCW.		Program Contract Number: Contractor Contract Number:	
CONTRACTOR NAME		CONTRACTOR doing business as (DBA)	
CONTRACTOR ADDRESS		WASHINGTON UNIFORM BUSINESS IDENTIFIER (UBI)	DSHS INDEX NUMBER
CONTRACTOR CONTACT	CONTRACTOR TELEPHONE	CONTRACTOR FAX	CONTRACTOR E-MAIL ADDRESS
DSHS ADMINISTRATION	DSHS DIVISION	DSHS CONTRACT CODE	
DSHS CONTACT NAME AND TITLE		DSHS CONTACT ADDRESS	
DSHS CONTACT TELEPHONE	DSHS CONTACT FAX	DSHS CONTACT E-MAIL ADDRESS	
IS THE CONTRACTOR A SUBRECIPIENT FOR PURPOSES OF THIS CONTRACT?		CFDA NUMBER(S)	
CONTRACT START DATE	CONTRACT END DATE	CONTRACT MAXIMUM AMOUNT	
EXHIBITS. The following Exhibits are attached and are incorporated into this Contract by reference: <input checked="" type="checkbox"/> Data Security: Exhibit A – Data Security Requirements <input type="checkbox"/> Exhibits (specify): <input type="checkbox"/> 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		PRINTED NAME AND TITLE	DATE SIGNED
SAMPLE – DO NOT SIGN		SAMPLE – DO NOT SIGN	
DSHS SIGNATURE		PRINTED NAME AND TITLE	DATE SIGNED
SAMPLE – DO NOT SIGN		SAMPLE – DO NOT SIGN	

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 Contract 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 128 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

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can be accessed at <http://apps.leg.wa.gov/rcw/>.

- 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.** At all times during the term of this Contract, the Contractor shall comply with all applicable federal, state, and local laws and regulations, including but not limited to, nondiscrimination laws and regulations.

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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.
- 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.
 - (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

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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 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. **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.
 9. **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.
 10. **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.
 11. **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.

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- 12. 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.
- 13. 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.
- 14. 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.
- 15. 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.

- 16. Waiver.** Waiver of any breach or default on any occasion shall not be deemed to be a waiver of any

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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.

Additional General Terms and Conditions – Personal Service Contracts:

17. **Advance Payment.** DSHS shall not make any payments in advance or anticipation of the delivery of services to be provided pursuant to this Contract.
18. **Construction.** The language in this Contract shall be interpreted as to its fair meaning and not strictly 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.
19. **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.
20. **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, Agency may collect from the Contractor the full amount payable to the Industrial Insurance accident fund. The Agency may deduct the amount owed by the Contractor to the accident fund from the amount payable to the Contractor by the Agency 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.
21. **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

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- 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.

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.

- 22. DES Filing Requirement.** Under RCW 39.26, sole source contracts and amendments must be filed with the State of Washington Department of Enterprise Services (DES). If this Contract is one that must be filed, it shall not be effective nor shall work commence or payment be made until the tenth (10th) working day following the date of filing subject to DES approval. In the event DES fails to approve the Contract or any amendment hereto, the Contract or amendment shall be null and void.
- 23. Subcontracting.** Except as otherwise provided in this Contract, the Contractor shall not Subcontract any of the contracted services without the prior written 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. 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.
- 24. 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

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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 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.

25. 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.

26. 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;
- 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.

27. 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,

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

28. 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.

29. 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.

30. 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

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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.

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:
 - a. "CE Report" means Consultative Examination Report.
 - b. "Current Procedural Terminology" or "CPT" means a set of codes developed by the American Medical Association that DDDS staff shall use in identifying services to be provided to DDDS claimants, and reimbursement for services provided by professional providers.
 - c. "Culturally Appropriate" means to be responsive to a DDDS claimant's cultural beliefs and values, ethnic norms, language needs, religion, and individual differences.
 - d. "DDDS" means Division of Disability Determination Services, which is a division of the Economic Services Administration (ESA) of the Department of Social and Health Services (DSHS).
 - e. "DDDS Claimant" means a person, who has applied for disability benefits under Social Security Disability Insurance and/or Supplemental Security Income rules and regulations, or DSHS Non-Grant Medical Assistance.
 - f. "Diagnostic and Statistical Manual for Mental Disorder" or "DSM" means the latest edition of the manual published by the American Psychiatric Association that establishes diagnostic criteria, including description, diagnosis, treatment, and research findings for the most common mental disorders.
 - g. "DSHS Non-Grant Medical Assistance" means a State of Washington supported medical assistance program.
 - h. "ESA" means the Economic Services Administration, which is an administration of the Department Social and Health Services.
 - i. "Lead Medical Consultant" means a medical doctor contracted with the DDDS to perform and provide specialized medical consultative services for DSHS/DDDS staff.
 - j. "LEP (Limited English Proficiency)" means being of limited ability or inability to speak, read, or write the English language well enough to understand and communicate effectively, or being deaf, deaf-blind, or hard-of-hearing.
 - k. "Mental Health Disability Evaluation" (Adult or Child) means, for the purpose of this Contract, a face-to-face psychiatric examination performed to assess for current mental functioning under accepted psychiatric practices. Examining procedures and observations for all mental conditions should address the specific alleged impairments.
 - l. "Professional Relations Department" means a department within the DDDS that manages the Personal Service Contracts and ensures that contracts are in compliance to the Request for Qualification (RFQ).
2. **Purpose.** The purpose of this Contract is to provide psychiatric diagnostic examinations for DDDS claimants who apply for the Social Security Disability Insurance, Supplemental Security Income, and/or DSHS Non-Grant Medical Assistance program.
3. **Previous Personal Service Contract Superseded.** In the event any previous Contract between the Contractor and DDDS for these services should be in effect upon execution of this Contract, this

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Personal Service Contract shall terminate and supersede that previous Contract.

- 4. Professional Credentialing and Licensure.** The Contractor, its employees, or subcontractors who will be in contact with DDDS claimants while performing work under this Contract must be accredited, certified, licensed, or registered according to Washington State laws and regulations or the laws of the state in which the Contractor is providing services. During the term of this Contract, the Contractor shall require that all such individuals do not have, and shall remain without, restrictions or sanctions placed on accreditation, certification, license or registration. The Contractor, within three (3) business days of receipt of any information related to disciplinary action against the accreditation, certification, license, or registration of the Contractor, an employee, or subcontractor, shall notify the DSHS Contact listed on page one of this Contract.
- a. **Credential Verification for Psychiatrists.** The Contractor shall provide the following documents for each psychiatrist performing work, which DDDS shall use to verify:
 - (1) Acknowledgement of Professional Qualifications;
 - (2) Statement of Agreement; and
 - (3) Copy of current curriculum vitae or resume.
 - b. **Credential Verification for Staff.** The Contractor shall verify that all staff or subcontractors who participate in conducting the consultative examination meet the following requirements:
 - (1) Have the licensing or certification requirements of Washington State or the state in which the Contractor is providing services; and
 - (2) Are not excluded, suspended, or otherwise barred from participation in federal programs.
- 5. Qualification Requirements.** The Contractor or licensed healthcare professionals employed or subcontracted by the Contractor to perform work under this Contract must:
- a. For Medical Doctors (MD) or Doctors of Osteopath (DO):
 - (1) Have graduated from an accredited medical school receiving a degree as an MD or DO;
 - (2) Be licensed to practice medicine in the State of Washington or in the state where the services shall be provided;
 - (3) Not be currently suspended, under investigation, or restricted from providing health care or diagnostic services by any government regulatory agency; and
 - (4) Have no licensure sanctions or pending sanctions.
 - b. For Physician Assistant (PA) or Advanced Practice Registered Nurse (APRN) within the licensed scope of practice:
 - (1) Have graduated from an accredited school or program receiving a license or certification;
 - (2) Be licensed or certified to practice in the State of Washington or in the state where the services shall be provided;

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- (3) Not be currently suspended, under investigation, or restricted from providing health care or diagnostic services by any government regulatory agency; and
- (4) Have no licensure sanctions or pending sanctions.
- (5) APRN alternative titles include:
 - (a) Advanced Practice Nurse (APN); or
 - (b) Advanced Registered Nurse Practitioner (ARNP).
- (6) Four types of APRN:
 - (a) Certified Nurse Midwife (CNM);
 - (b) Nurse Practitioner (NP);
 - (c) Certified Registered Nurse Anesthetist (CRNA); and
 - (d) Clinical Nurse Specialist (CNS).

6. Cultural Appropriateness. All services provided by the Contractor under the terms of this Contract shall be provided in a manner that is culturally appropriate for the DDDS or LEP DDDS claimant and the claimant's family.

7. 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, as set forth below.

a. Examination Services. As part of the examination, the Contractor shall:

- (1) Perform a face-to-face psychiatric examination (or consultative examination) and a narrative CE Report of the referred DDDS claimant to establish a current functional assessment;
- (2) Collect data sufficient to permit a medical assessment; and
- (3) In some instances, the Contractor's examination may require:
 - (a) An extensive chart review, over 25 pages (reimbursable under CPT 99086) or complete chart review (reimbursable under 99080); and/or
 - (b) Completion of the Medical Source Statement of Ability to do Work-Related Activities (Mental) Form (reimbursable under CPT 99085).
- (4) Base the examination format and report content on the requirements found in the CE Evaluation and Report Requirements section. The final authority as to the adequacy of CE reports will be the DDDS Professional Relations Department and Lead Medical Consultant.
 - (a) The Contractor's CE reports shall be subject to DDDS staff reviews based on whether the CE report:
 - i. Adequately addresses the allegations for which DDDS requested the examination;
 - ii. Provides sufficient evidence to support an adequate basis for a decision regarding

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impairment;

iii. Is internally consistent; and

iv. Is consistent with other information provided.

(b) Prepare and submit a narrative CE Report of the referred DDDS claimant to DDDS within twelve (12) calendar days of the examination, utilizing electronic transmission via Fax or the Social Security Administration (SSA) secure website, <http://eme.ssa.gov>. Payment will not be made until the CE Report is received and approved by DDDS as meeting all report requirements.

b. Referrals.

- (1) The DDDS shall request services from the Contractor on an as-needed basis and does not guarantee a minimum or maximum number of appointments;
- (2) All services provided by the Contractor under the terms of this Contract must be through pre-approved, written authorization by DDDS staff in accordance with the Social Security Administration program specifications;
- (3) The DDDS is not obligated nor responsible under this Contract to authorize services or fees the Contractor may feel is necessary for the consultative examination; and
- (4) The Contractor shall maintain information concerning individuals in strictest confidence and safeguard all information in electronic format or hard copy. The Contractor shall not disclose information concerning any examination performed under this contract. All requests for information concerning an examination done under this contract shall immediately be forwarded to the DDDS Professional Relations Department for processing.

c. Scheduling. The Contractor shall:

- (1) Schedule all appointments to allow adequate time for the Contractor to provide a complete examination according to standard medical practices and adhere to the following scheduling intervals:
 - (a) Forty-five (45) minutes for the adult DDDS claimant exam; and
 - (b) Sixty (60) minutes for the child DDDS claimant exam.
- (2) Schedule appointments between ten (10) and thirty (30) days from the day of the referral. In special circumstances, an appointment sooner than ten (10) days may be requested and agreed upon by DDDS and the Contractor.

d. Parameters.

- (1) The Contractor shall:
 - (a) Conduct/perform any portion of the consultative examination in a private setting;
 - (b) Ensure only the consultative examiner and DDDS claimant are permitted in the examination room (other parties should only be permitted at the discretion of the examiner);

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- (c) Identify the DDDS claimant by a picture ID, if available, and include a physical description of the DDDS claimant in the consultative report;
 - (d) Re-examine a DDDS claimant, without charge to DDDS, when DDDS determines that the initial examination is incomplete or inconsistent;
 - (e) Take action consistent with sound and accepted medical practice when the evidence shows a medical condition that is legally reportable, or which could be injurious to the health and safety of the DDDS claimant or others, or when the DDDS claimant has made a threat against himself/herself or to others. The Contractor shall immediately report to DDDS by telephone any emergency treatment or information provided to the DDDS claimant and specify such in the written report to DDDS. The Contractor shall submit the written report to DDDS within twenty-four (24) hours of the occurrence;
 - (f) Have the right to refuse to examine a DDDS claimant who is intoxicated, threatening, belligerent, or whom the Contractor determines cannot be examined. The Contractor shall immediately report to DDDS by telephone any refused examination and specify such in a written report of the incident. The Contractor shall submit the written report to DDDS within twenty-four (24) hours of the occurrence;
 - (g) Be available by telephone during the Contractor's normal working hours in the event DDDS requires clarification or additional information regarding a CE report. The examiner shall also provide a written response to be made part of the client's record within forty-eight (48) hours of the initial discussion or request by DDDS; and
 - (h) Provide the DDDS access to inspect the Contractor's workspace to ensure confidentiality and security of claims folders and equipment is maintained. The DDDS may make announced or unannounced visits.
- (2) The Contractor shall not:
- (a) Recommend treatment, a change of treatment, or prescribe medication;
 - (b) Make direct comment to the DDDS claimant or make any other indication as to whether the DDDS claimant is disabled or has a significant medical condition as defined by the Social Security Administration regulations. The determination regarding disability and eligibility for disability benefits is under the purview of the DDDS and the Social Security Administration;
 - (c) Reschedule appointments directly with DDDS claimants. DDDS must approve all rescheduled appointments and issue new Examination Authorizations (L9CEVCHR);
 - (d) Routinely contact the DDDS for appointment schedules. Schedules will be received electronically via the Social Security Administration's Electronic Records Express (ERE) website, by mail, or per request, by automatic fax schedules; or
 - (e) Cancel or reschedule appointments except in rare circumstances; or because the Contractor does not agree with the number of appointments scheduled. DDDS is not obligated to schedule appointments with the Contractor. Repeated requests for cancellations or reschedules for this reason may result in contract termination.

8. CE Evaluation and Report Requirements.

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- a. Adult Mental Health Disability Evaluation and Report Guidelines. The Contractor shall:
- (1) Provide a typed consultative examination report (CE Report) within twelve (12) calendar days of the examination that includes the mental health signs and systems, as well as, a medical source statement derived from Contractor's findings that describe the DDS claimant's ability to function despite his/her impairment;
 - (2) Provide the DDS claimant's name, case number, and date of examination on the first page of the typed report. All subsequent pages shall contain the DDS claimant's name and case number; and
 - (3) Comply with the detail and format for reporting the results of the consultative examination in accordance with the following consultation examination guidelines (including specific information requested on the Examination Authorization (L9CEVCHR)).
 - (a) Identify DDS Claimant.
 - i. Include the DDS claimant's case number;
 - ii. Indicate that the DDS claimant provided proof of identity by showing a valid and current government photo ID (i.e. U.S. State-issued driver's license, U.S. State-issued non-driver identity card, U.S. passport, U.S. military ID, student or school ID, etc.); and
 - iii. Provide a physical description of the DDS claimant, to help ensure that the person being examined is the DDS claimant.
 - (b) Chief Complaint. State the major or chief complaint(s) alleged as the reason for the inability to work. Describe how the impairment(s) affects function and daily activities. Clarify functional loss by providing specific examples of capabilities and activities of daily living.
 - (c) Review of Records. Provide a brief summary or list of background material or medical records received and reviewed prior to the examination. A statement should be made if no medical documents were made available for review by the DDS.
 - (d) History. Identify the person(s) providing the oral medical history and comment on validity and reliability of the person's reporting.
 - i. Past and Present Illness. This section of the examination report should describe and discuss the DDS claimant's:
 - (A) History of the onset and progress of the disorder;
 - (B) Statement of current symptoms;
 - (C) Treatment and response;
 - (D) Current Medications (include name, dose, frequency of medication(s), and beneficial and adverse effects);
 - (E) Factors that increase the problem and factors that provide relief;
 - (F) Other significant past illnesses, injuries, operations, and diagnostic procedures with

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dates of the events (when appropriate); and

(G) Past and current participation and success or failure in rehabilitation, group homes or half-way houses, inpatient or outpatient treatment.

ii. Social and Family History. Include the following:

(A) Relevant information, including longitudinal history of relations with parents, family, peers, spouses, co-workers, etc.;

(B) Educational background (special education, college courses/degree, special vocational training);

(C) Relevant history of legal or occupational problems associated with the disorder;

(D) Involvement in hobbies and/or regular group activities (i.e. church, social clubs, participation in sports teams, etc.);

(E) A description of the DDDS claimant's attempt(s) to return to work and the results (i.e. decompensation, missed work due to inability to handle stress); and

(F) Detailed longitudinal discussion of any history of alcohol, licit and illicit drug abuse, and comments on the effects of a substance abuse on functioning; if there is no history of substance abuse, include a statement to that effect.

(e) Mental Status. Cover every section of the mental status exam. Provide specific information and be as descriptive as possible. Include direct quotes by the DDDS claimant when appropriate.

i. General Appearance and Physical Observations:

(A) General observations, including whether the DDDS claimant came alone or accompanied; distance and mode of transportation; and if by automobile, who drove;

(B) Grooming and cleanliness;

(C) Age and weather appropriate clothes; and

(D) General motor behavior, including involuntary movements, restlessness, and psychomotor retardation and agitation. Provide examples.

ii. Attitude and General Behavior:

(A) Eye contact;

(B) Ability to cooperation and engage with examination (i.e. cooperative, irritable, belligerent, etc.); and

(C) Indication of malingering or factitious behavior. Please explain (if applicable).

iii. Mood and Affect:

(A) Reported mood; and

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(B) Type, range, and appropriateness of affect. Please explain.

iv. Content of Thought:

(A) Reported/observed delusions; and

(B) Reported/observed suicidal/homicidal ideation.

v. Stream of Mental Activity:

(A) Speech:

- Fluency, volume, and rate;
- Intelligible speech; and
- Describe receptive and expressive language.

vi. Orientation:

(A) Person, place, and time.

vii. Memory:

(A) Remote: ability to recall past events;

(B) Recent: ability to recall 3/3 objects after 5-minutes; and

(C) Immediate: digit span forward and back. Provide responses.

viii. Fund of Knowledge:

(A) Current events. Provide examples;

(B) Current president and governor; and

(C) Simple geography questions (i.e. ability to name bordering states).

ix. Concentration and Attention:

(A) Serial 3's and 7's. Provide responses;

(B) Ability to spell WORLD forward and backward;

(C) Ability to follow three-step command; and

(D) Inability to follow conversation. Provide examples.

x. Abstract Thinking:

(A) Ability to interpret proverbs. Provide examples.

xi. Judgment and Insight:

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- (A) Comment on DDDS claimant's insight into own condition; and
 - (B) Comment on judgment (i.e. when asked what he/she would do if smelling smoke in crowded theater).
- xii. Estimated Level of Intelligence.
- xiii. Activities of Daily Living (ADL):
- (A) Provide a complete description of the DDDS claimant's typical daily activities;
 - (B) Comment on ability to cook, clean, grocery shop, etc. Provide examples; and
 - (C) Comment on need for assistance with self-care. Provide examples.
- xiv. Social Functioning:
- (A) Comment on ability to participate in church groups, clubs, or other events regularly
- xv. Concentration, Persistence, and Pace
- (A) Comment on ability to concentrate to read a book, work at hobbies, play on the computer, etc. Provide examples of hobbies/interests and how long the DDDS claimant can sustain the activity; and
 - (B) Comment on ability to complete typical daily activities in a timely manner.
- (f) Deterioration or Decompensation. Describe any indication of deterioration or decompensation in a work-like setting.
- (g) Diagnosis (use DSM Assessment format):
- i. Provide a diagnoses based on clinical, objective evidence;
 - ii. Include a discussion of which findings and observations led to each diagnoses; and
 - iii. Do not give diagnoses based solely on the DDDS claimant's subjective complaints.
- (h) Prognosis. Note probable duration and expected results of current treatment.
- (i) Additional Information. The examination report should contain the following:
- i. For anxiety-related disorders. Provide a detailed description of the reaction. The description should include:
 - (A) The nature, frequency, and duration of the attack;
 - (B) The precipitating and exacerbation factors; and
 - (C) The functional effects.
 - ii. For intellectual impairments. Provide a comprehensive and detailed description of the adaptive behavior. The description should include in the areas of:

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- (A) Personal;
 - (B) Social;
 - (C) Academic; and
 - (D) Occupational functioning during the developmental period.
- (j) Capability of DDDS Claimant to Manage Funds.
- (k) Medical Opinion. Include the following:
- i. A statement regarding the nature and extent of the mental disorder;
 - ii. An assessment of the DDDS claimant's abilities and limitations based on medical history, observations during examination, and results of relevant laboratory tests; and an opinion regarding the ability to:
 - (A) Understand, carry out, and remember instructions (both complex and one-two step);
 - (B) Sustain concentration and persist in work-related activity at reasonable pace;
 - (C) Maintain effective social interaction on a consistent and independent basis, with supervisors, co-workers, and the public; and
 - (D) Deal with normal pressures in a competitive work setting.
 - iii. If hazards should be avoided or limited (i.e. operating machinery due to medication side effect), specify which ones and why; and
 - iv. Discussion of any apparent discrepancies in medical history or in examination findings and how the discrepancies resolved.
- (l) Report Signature. The report is required to be reviewed and signed by the doctor who performed the consultative examination.
- i. A rubber stamp signature or a signature by another doctor or provider is not acceptable;
 - ii. It is not acceptable to indicate "not proofed" or "dictated, but not read" on the report; and
 - iii. The performing doctor's name must be typed at the end of the report despite the report being wet-signed or electronically signed:
 - (A) If the report is to be submitted via Social Security's Electronic Records Express secured website, using the "click and sign" feature is an acceptable electronic signature.
- b. Child Mental Health Disability Evaluation and Report Guidelines (*Infant/Toddler Developmental – Birth to Age 3 Years*). The Contractor shall:
- (1) Provide a typed consultative examination report (CE Report) within twelve (12) calendar days of the examination, that includes the mental health signs and symptoms, as well as, a medical source derived from the Contractor's findings, that describe the DDDS claimant's ability to

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function despite his/her impairment:

- (2) Provide the DDDS claimant's name, case number, and date of examination on the first page of the typed report. All subsequent pages shall contain the DDDS claimant's name and case number; and
- (3) Comply with the detail and format for reporting the results of the consultative examination in accordance with the following consultation examination guidelines (including specific information requested on the Examination Authorization (L9CEVCHR)).
 - (a) Identify DDDS Claimant (or Child).
 - i. Include the DDDS claimant's case number;
 - ii. Indicate that the DDDS claimant provided proof of identity by showing an original document proving U.S. citizenship, age and identity (i.e. social security card, U.S. passport, birth certificate, student or school ID, daycare center or school record); and
 - iii. Provide a physical description of the DDDS claimant, to help ensure that the person being examined is the DDDS claimant
 - (b) Chief Complaint. State the major or chief complaint(s) alleged as the reason for disability. Describe how the impairment(s) affects function and daily activities, symptom frequency and severity, and effects on daily activities and emotional functioning.
 - (c) Review of Records. Provide a brief summary or list of background material or medical records received and reviewed prior to the examination. A statement should be made if no medical documents were made available for review by the DDDS.
 - (d) History. Identify the person(s) providing the oral medical history and comment on validity and reliability of the person's reporting.
 - i. Past and Present Illness. This section of the examination report should describe and discuss the DDDS claimant's:
 - (A) Prenatal, delivery, and neonatal course;
 - (B) Other significant past illnesses, injuries, operations, hospitalizations, and urgent care encounters with dates of the events and names of facilities where treatment was given particularly mental health treatment (when appropriate);
 - (C) Other observed or alleged mental impairment(s) including any indications of self-destructive behavior or other directed aggression and substance abuse;
 - (D) Onset and duration of the impairment(s);
 - (E) Current treatment. Include medicines and dosages, role of child and caregiver in administration of medications and treatment plan, adjustments in medication regimen, psychotherapy and behavioral interventions. Identify treating sources (if known); and
 - (F) Response to treatment and extent of control of the impairment(s).

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- ii. Social History. Describe and discuss use of tobacco products, alcohol, non-prescription drugs, etc. (as appropriate).
 - iii. Family History. Describe and discuss family composition, health of family members including similar disease/disorders in other members of family, the primary caretaker(s) and their role in providing for the DDDS claimant's medical, emotional, and daily activity needs. Include longitudinal history of relations with parents, family, peers, etc.
 - iv. Educational History. Describe and discuss IEP or other school interventions, early infant or pre-school intervention services, adjustment in school, and school activities.
- (e) Evaluation: Developmental Assessment for Birth to Attainment of Age 3. Cover every section of the evaluation. Provide specific information and be as descriptive as possible. Information requested should be tailored according to the DDDS claimant's age as the adult mental status exam tasks are typically not appropriate for children. The age appropriate detailed report should include objective findings and observations regarding:
- i. History of attainment of developmental milestones (i.e. sitting unsupported, standing, walking, etc.).
 - ii. Responsiveness to visual, auditory, and tactile stimuli (birth to 12 months).
 - iii. Motor coordination, including fine/gross, left/right dominant.
 - iv. Communicative behaviors:
 - (A) Pre-Speech, including sucking, swallowing, and imitation of sounds; and
 - (B) Early language, including jargon, single words, phrases, and turn taking.
 - v. Behavior or Mannerism. Describe:
 - (A) Manner of relating to and interacting with parent/caregiver and/or siblings/peer group;
 - (B) Ability to separate from parent or caregiver;
 - (C) Note any stereotypical movements;
 - (D) Perceptual Functioning; and
 - (E) Other pathology or psychopathology.
- (f) Diagnosis (use DSM Assessment format). Include a discussion of which findings and observations led to this diagnoses.
- (g) Prognosis. Note probable duration and expected results of current treatment.
- (h) Medical Opinion (of the remaining functional abilities):
- i. Based on the objective examination findings, provide an opinion of the DDDS claimant's (or child's) ability to function as compared to other children of the same age who do not have impairments. This should not be phrased in the same way as for adults (i.e. simple

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versus complex instructions, accepting supervision, etc.); and

- ii. This statement must be supported by the objective clinical findings and address the DDDS claimant's limitation in:
 - (A) Acquiring/using information;
 - (B) Attending and completing tasks; and
 - (C) Interacting/relating to others.
- (i) Report Signature. The report is required to be reviewed and signed by the doctor who performed the consultative examination.
 - i. A rubber stamp signature or a signature by another doctor or provider is not acceptable;
 - ii. It is not acceptable to indicate "not proofed" or "dictated, but not read" on the report; and
 - iii. The performing doctor's name must be typed at the end of the report despite the report being wet-signed or electronically signed.
 - (A) If the report is to be submitted via Social Security's Electronic Records Express secured website, using the "click and sign" feature is an acceptable electronic signature.
- c. Child Mental Health Disability Evaluation and Report Guidelines (*Children Age 3 Years to Attainment of Age 18*). The Contractor shall:
 - (1) Provide a typed consultative examination report (CE Report) within twelve (12) calendar days of the examination, that includes the mental health signs and symptoms, as well as, a medical source statement derived from the Contractor's findings, that describe the DDS claimant's ability to function despite his/her impairment;
 - (2) Provide the DDDS claimant's name, case number, and date of examination on the first page of the typed report. All subsequent pages shall contain the DDDS claimant's name and case number; and
 - (3) Comply with the detail and format for reporting the results of the consultative examination in accordance with the following consultation examination guidelines (including specific information requested on the Examination Authorization (L9CEVCHR)).
 - (a) Identify DDDS Claimant (or Child).
 - i. Include the DDDS claimant's case number;
 - ii. Indicate that the DDDS claimant provided proof of identity by showing an original document proving U.S. citizenship, age and identity (i.e. social security card, U.S. passport, birth certificate, student or school ID, daycare center or school record); and
 - iii. Provide a physical description of the DDDS claimant, to help ensure that the person being examined is the DDDS claimant.
 - (b) Chief Complaint. State the major or chief complaint(s) alleged as the reason for disability.

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Describe how the impairment(s) affects function and daily activities, symptom frequency and severity, and effects on daily activities and emotional functioning.

- (c) Review of Records. Provide a brief summary or list of background material or medical records received and reviewed prior to the examination. A statement should be made if no medical documents were made available for review by the DDDS.
- (d) History. Identify the person(s) providing the oral medical history and comment on validity and reliability of the person's reporting.
 - i. Past and Present Illness. This section of the examination report should describe and discuss the DDDS claimant's:
 - (A) Prenatal, delivery, and neonatal course;
 - (B) Other significant past illnesses, injuries, operations, hospitalizations, and urgent care encounters with dates of the events and names of facilities where treatment was given particularly mental health treatment (when appropriate);
 - (C) Other observed or alleged mental impairment(s) including any indications of self-destructive behavior or other directed aggression and substance abuse;
 - (D) Onset and duration of the impairment(s);
 - (E) Current treatment. Include medicines and dosages, role of child and caregiver in administration of medications and treatment plan, adjustments in medication regimen, psychotherapy and behavioral interventions. Identify treating sources (if known); and
 - (F) Response to treatment and extent of control of the impairment(s).
 - ii. Social History. Describe and discuss use of tobacco products, alcohol, non-prescription drugs, etc. (as appropriate).
 - iii. Family History. Describe and discuss family composition, health of family members including similar disease/disorders in other members of family, the primary caretaker(s) and their role in providing for the DDDS claimant's medical, emotional, and daily activity needs. Include longitudinal history of relations with parents, family, peers, etc.
 - iv. Educational History. Describe and discuss IEP or other school interventions, early infant or pre-school intervention services, adjustment in school, and school activities.
- (e) Evaluation: Mental Assessment for Children Age 3 to Attainment of Age 18. Cover every section of the evaluation. Provide specific information and be as descriptive as possible. Information requested should be tailored according to the DDDS claimant's age as the adult mental status exam tasks are typically not appropriate for children. The age appropriate detailed report should include objective findings and observations regarding:
 - i. History of adjustment in school and home, daily activities, social activities, other activities that reflect the DDDS claimant's concentration and task persistence;
 - ii. General Appearance and Physical Observations;

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- (A) Age (actual and apparent);
 - (B) Age appropriate clothes;
 - (C) Grooming and cleanliness;
 - (D) Dymorphic features, bruises, scars, etc.;
 - (E) Motor coordination, including fine/gross, left/right dominant; and
 - (F) General motor behavior, including involuntary movements, restlessness, and psychomotor retardation and agitation, ticks, and mannerisms. Provide examples.
- iii. Attitude and General Behavior:
- (A) Eye contact;
 - (B) Describe behavior during examination; and
 - Ability to cooperate and engage with examination (i.e. cooperative, irritable, belligerent, etc.)
 - Towards parents and/or siblings
 - Observed separation difficulties
 - (C) Behavior being age appropriate. Please explain.
- iv. Mood and Affect:
- (A) Reported mood; and
 - (B) Type, range, and appropriateness of affect. Please explain.
- v. Attention and Concentration:
- (A) Reported/observed difficulty with following conversation. Provide examples; and
 - (B) Reported/observed distractibility. Provide examples.
 - Difficulty to redirect;
 - Easily fatigued; and
 - Ability to maintain attention to specific age appropriate tasks.
- vi. Communication:
- (A) Speech:
 - Fluency, volume, and rate;

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- Intelligible speech; and
- Describe receptive and expressive language.

(B) Describe ability to use age appropriate language skills.

vii. Content of Thought:

(A) Reported/observed hallucinations, delusions, or thought disorder;

(B) Reported/observed fears, phobias, or obsessions; and

(C) Reported/observed compulsions or rituals.

viii. Cognitive Abilities:

(A) Developmentally age appropriate;

(B) Vocabulary being average for age. Please explain;

(C) Fund of Knowledge;

(D) Questions will vary depending on age. Provide examples;

(E) Memory:

- Short-term memory. Provide examples; and
- Long-term memory. Provide examples.

ix. Mental Status Examination: for Children Age 12 and Over, and as appropriate, for Children Under 12 Years. The report should include:

(A) Orientation:

- Person, place, and time.

(B) Insight and Judgment:

- Ability to reason and problem solve;
- Acknowledgment of problems; and
- Capacity to judge hypothetical situations.

(C) Impulse Control:

- Aggressive behaviors; and
- Frustration tolerance.

(D) Examination of Risk:

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- Suicidal thoughts or behavior;
- Self-harming behavior;
- Thoughts or plans of harming others; and
- Risk-taking behavior.

(f) Functional Information:

i. Activities of Daily Living (ADL):

- (A) Provide a complete description of the DDDS claimant's (or child's) typical daily activities;
- (B) Comment on self-care routines, activities, interests, and ability to do household chores. Provide examples; and
- (C) Comment on need for assistance with activities. Provide examples.

ii. Social Functioning:

- (A) Comment on ability to get along with family, peers, teachers, other adults, and authority figures;
- (B) Comment on ability to participate in church groups, clubs, sports, extra-curricular activities;
- (C) Comment on ability to attend social functions (i.e. birthday parties, playdates, or other events) regularly; and
- (D) Comment on experience with bullying or being bullied.

iii. Concentration, Persistence, and Pace:

- (A) Comment on ability to concentrate to read a book, work at hobbies, play on the computer, do homework, etc. Provide examples of hobbies/interests and how long the DDDS claimant can sustain the activity; and
- (B) Comment on ability to complete typical daily activities in a timely manner.

(g) Diagnosis (use DSM Assessment format). Include a discussion of which findings and observations led to this diagnoses.

(h) Prognosis. Note probable duration and expected results of current treatment.

(i) Additional Information. The examination report should contain the following:

- i. For anxiety-related disorders. Provide a detailed description of the reaction. The description should include:

- (A) The nature, frequency, and duration of the attack;

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(B) The precipitating and exacerbation factors; and

(C) The functional effects.

(j) Medical Opinion (of the remaining functional abilities):

i. Based on the objective examination findings, provide an opinion of the DDDS claimant's (or child's) ability to function as compared to other children of the same age who do not have impairments. This should not be phrased in the same way as for adults (i.e. simple versus complex instructions, accepting supervision, etc.); and

ii. This statement must be supported by the objective clinical findings and address the DDDS claimant's limitation in:

(A) Acquiring/using information;

(B) Attending and completing tasks; and

(C) Interacting/relating to others.

(k) Report Signature. The report is required to be reviewed and signed by the doctor who performed the consultative examination:

i. A rubber stamp signature or a signature by another doctor or provider is not acceptable;

ii. It is not acceptable to indicate "not proofed" or "dictated, but not read" on the report; and

iii. The performing doctor's name must be typed at the end of the report despite the report being ink signature or electronically signed:

(A) If the report is to be submitted via Social Security's Electronic Records Express secured website, using the "click and sign" feature is an acceptable electronic signature.

9. Training Requirements. With assistance from the DDDS Professional Relations Department, the Contractor shall:

a. Ensure that examining specialists understand the Social Security disability program and are familiar with the Listing of Impairments used in evaluating disability in DDDS claimant under the Social Security Disability Insurance benefits and Supplemental Security Income programs;

b. Train all staff regarding the disability programs and reporting requirements and ensure all examining specialists and other examination staff understand that they may have an evidentiary role in the Social Security Administration's decision-making process;

c. Require that doctors and other examination staff treat DDDS claimants with courtesy and respect; and

d. Assign a liaison to coordinate activities, resolve day-to-day problems, and answer questions from the DDDS staff.

10. Billing.

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- a. Invoice System. The Contractor shall, within twelve (12) calendar days of the examination and at the same time CE reports for each DDDS claimant are submitted, submit the appropriate invoice associated with the authorized date and time of the evaluation using the Examination Authorization (Form L9CEVCHR). Consideration for services rendered shall be payable upon receipt of properly completed invoices and upon verification, review and approval of the invoice and evaluation report.
- b. No-Show Fee. The Contractor shall be entitled to receive an Administrative No-Show Fee, not to exceed fifty dollars (\$50.00), for DDDS claimants' missed appointments or for those appointments that DDDS cancels with less than forty-eight (48) hours notice. The Contractor may consider an appointment missed (failed) if the DDDS claimant is more than fifteen (15) minutes late following the appointed time. The Contractor shall request reimbursement using the authorization voucher documented with "no show" or "late cancellation."

11. Payment.

- a. The Contractor agrees to accept DDDS payment as the sole and complete payment for the services provided under this Contract and shall not charge DDDS claimants or other third party insurers, including but not limited to governmental sources (e.g. Medicare or Medicaid) for any services rendered;
- b. DDDS shall apply the Fee Schedule for the applicable state in which the Contractor provides services in determining the amount of each payment for a service provided in accordance with this Contract. The Washington State DDDS publishes the Schedule of Maximum Allowances for Medical Services at the following website: <https://www.dshs.wa.gov/esa/disability-determination-services/disability-determination-services-medical-provider-information>. DDDS reserves the right to revise the payment schedule pursuant to federal regulations;
- c. DDDS shall not authorize payment until the documentation for services rendered (CE Report) is received by the DDDS. DDDS staff may deny or stop payment to the Contractor if the CE Report required under this Contract is delinquent, incomplete, or does not meet the requirements set forth in the Special Terms and Conditions of this Contract;
- d. DDDS shall consider payment timely if made within thirty (30) days after receipt. All CE reports and invoices are subject to review and approval by DDDS staff prior to payment. Payment shall be sent to the address designated on the first page of this Contract;
- e. When authorized by DDDS staff, travel to a pre-approved location or home visit, shall be reimbursed by DDDS at a rate published in the Schedule of Maximum Allowances for Medical Services (CPT 99083 or 99081);
- f. DDDS shall reimburse the Contractor only for properly authorized and delivered services. If DDDS pays, the Contractor for services authorized but not provided by the Contractor in accordance with this Contract's Special Terms and Conditions, DDDS shall deem the amount paid to be an overpayment. If this Contract is terminated for any reason by either party, DDDS shall pay for only those services authorized and provided through the date of termination; and
- g. DDDS shall reimburse the Contractor for the delivered services if invoices are received by the DDDS no later than one year from the date of the examination.

12. Complaints.

- a. DDDS shall review all complaints against the Contractor including those against the quality of an

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examination. DDDS shall acknowledge, evaluate, and respond in writing to all formal written complaints; and

- b. When notified of a formal written complaint, the Contractor shall respond to the DDDS in writing addressing each complaint. In the event the Contractor receives a complaint directly, the Contractor shall notify the DDDS of the complaint and resolution in writing. The DDDS shall take appropriate actions.

13. Consideration.

- a. Maximum Contract Amount. Total consideration payable to Contractor for satisfactory performance of the work under this Contract shall be based on completion of work, as described in the Special Terms and Conditions; properly completed and submitted the Examination Authorization (Form L9CEVCHR); and the Schedule of Maximum Allowances for Medical Services payment schedule (fee schedule) for the state in which the Contractor provides services; and
- b. Source(s) of Funds. The Contractor shall be paid from federal funds received under CFDA #s 96.001 Social Security Disability Insurance and 96.006 Supplemental Security Income.

14. Disputes.

- a. Request. Either party to the Contract may request contract dispute resolution. (Rates set by law, regulation or DSHS policy are not disputable.) The request for contract dispute resolution by either party shall be:
 - (1) Submitted to ESA in writing and include the Contractor's name, address and the DSHS Contract Number;
 - (2) Sent by certified mail or other method providing a signed receipt to the sender to prove delivery to and receipt by ESA, to the following address:

DSHS/ESA/Operations Support Division
Attn. Contracts Unit
PO Box 45445
Olympia, Washington 98501
 - (3) Received by the ESA/Operations Support Division/Contracts Unit within thirty (30) calendar days after the contract expiration or termination or after the party could reasonably be expected to have knowledge of the issue in dispute; and
 - (4) If the Contractor requests dispute resolution, the Contractor must identify in writing the spokesperson for the Contractor, if other than the Contractor's signatory.
- b. Content. The party requesting a dispute resolution shall submit a statement that:
 - (1) Identifies the issue(s) in dispute;
 - (2) Identifies the relative positions of the parties; and
 - (3) Requests resolution through the current ESA process.

- c. Action on the Request:

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- (1) ESA shall notify the non-requesting party of the request, notify both parties of the dispute resolution process to be followed, and manage the process to its conclusion; and
 - (2) The Contractor shall provide pertinent information as requested by the person ESA assigns to resolve the dispute.
- d. Contractor and DSHS agree that, the existence of a dispute notwithstanding, they will continue, without delay, to carry out all their respective responsibilities under this Agreement that are not affected by the dispute.

15. Insurance. The Contractor shall at all times comply with the following insurance requirements:

a. General Liability Insurance

The Contractor shall maintain Commercial General Liability Insurance, or Business Liability Insurance, including coverage for bodily injury, property damage, and contractual liability, with the following minimum limits: Each Occurrence - \$1,000,000; General Aggregate - \$2,000,000. 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 insured's.

In lieu of general liability insurance mentioned 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, and 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 the following minimum limits: Each Occurrence - \$1,000,000; General Aggregate - \$2,000,000. The State of Washington, Department of Social & Health Services (DSHS), its elected and appointed officials, agents, and employees shall be named as additional insured's.

or

Workplace Liability Insurance, including coverage for bodily injury and property damage that provides coverage wherever the service is performed with the following minimum limits: Each Occurrence - \$1,000,000; General Aggregate - \$2,000,000. 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 insured's.

or

Premises Liability Insurance and provide services only at their recognized place of business, including coverage for bodily injury, property damage with the following minimum limits: Each Occurrence - \$1,000,000; General Aggregate - \$2,000,000. 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 insured's.

b. Worker's Compensation

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The Contractor shall comply with all applicable Worker's 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 Worker's Compensation under RCW 51 by the Contractor or its employees under such laws and regulations.

c. Employees and Volunteers

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.

d. Subcontractors

The Contractor shall ensure that all subcontractors have and maintain insurance with the same types and limits of coverage as required of the Contractor under the Contract.

e. Professional Liability Insurance (PL)

The Contractor shall maintain Professional Liability Insurance or Errors & Omissions insurance, including coverage for losses caused by errors and omissions, with the following minimum limits: Each Occurrence - \$1,000,000; Aggregate - \$2,000,000.

f. Separation of Insured's

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

g. Insurers

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

h. Evidence of Coverage

The Contractor shall, upon request by the DSHS point of contact, 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.

i. 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. If cancellation is due to non-payment of premium, the insurer shall give DSHS 10 days advance written notice of cancellation.

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j. General

By requiring insurance, the State of Washington and DSHS do not represent that the coverage and limits specified will be adequate to protect the Contractor. Such coverage and limits shall not be construed to relieve the Contractor from 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. All insurance provided in compliance with this Contract shall be primary as to any other insurance or self-insurance programs afforded to or maintained by the State.

k. 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.

16. Notices. Whenever one party is required to give notice to the other party under this Contract, it shall be deemed given if mailed by United States Postal Service, registered or certified mail, return receipt requested, postage prepaid and addressed as follows:

- a. In the case of notice to the Contractor, notice shall be sent to the point of contact submitted to DSHS and named on page one of this Contract;
- b. In the case of notice to DSHS, notice shall be sent to:

Department of Social and Health Services
Division of Disability Determination Services
Professional Relations Department
P.O. Box 9303
Olympia, WA 98504-9303

Said notice shall become effective on the date delivered as evidenced by the return receipt or the date returned to sender for non-delivery other than for insufficient postage. Either party may at any time change its address for notification purposes by mailing a notice in accordance with this Section, stating the change and setting forth the new address, which shall be effective on the tenth (10th) day following the effective date of such notice unless a later day is specified in the notice.

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 User(s)” means an individual or individuals with a business need to access DSHS Confidential Information.
 - 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), 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 character classes: Uppercase alphabetic, lowercase alphabetic, numeral, and special characters such as an asterisk, ampersand or exclamation point.

- 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 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 can 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/sesa/central-contracts-services/keeping-dshs-client-information-private-and-secure>, which is a site developed by the DSHS Information Security Office and hosted by DSHS Central Contracts and Legal Services.
3. **Administrative Controls.** The Contractor must have the following controls in place:
- a. A documented security policy governing the secure use of its computer network and systems, and

which defines sanctions that may be applied to Contractor staff for violating that policy.

- b. If the Data shared under this agreement is classified as Category 4, 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, login ID, or any form of their full name.
 - (3) That a password does not consist of a single dictionary word. A password may be formed as a passphrase which consists of multiple dictionary words.
 - (4) That passwords are significantly different from the previous four passwords. Passwords that increment by simply adding a number are not considered significantly different.
- h. When accessing Confidential Information from an external location (the Data will traverse the Internet or otherwise travel outside the Contractor's network), mitigate risk and enforce password and logon requirements for users by employing measures including:

- (1) Ensuring mitigations applied to the system don't allow end-user modification.
 - (2) Not allowing the use of dial-up connections.
 - (3) Using industry standard protocols and solutions for remote access. Examples would include RADIUS and Citrix.
 - (4) Encrypting all remote access traffic from the external workstation to Trusted Network or to a component within the Trusted Network. The traffic must be encrypted at all times while traversing any network, including the Internet, which is not a Trusted Network.
 - (5) Ensuring that the remote access system prompts for re-authentication or performs automated session termination after no more than 30 minutes of inactivity.
 - (6) Ensuring use of Multi-Factor Authentication to connect from the external end point to the internal end point.
- i. Passwords or PIN codes may meet a lesser standard if used in conjunction with another authentication mechanism, such as a biometric (fingerprint, face recognition, iris scan) or token (software, hardware, smart card, etc.) in that case:
- (1) 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 compromised 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.** Data stored on local workstation hard disks. Access to the Data will be restricted to Authorized User(s) by requiring logon to the local workstation using a Unique User ID and Hardened Password or other authentication mechanisms which provide equal or greater security, such as biometrics or smart cards.
- b. **Network server disks.** For Data stored on hard disks mounted on network servers and made available through shared folders. Access to the Data will be restricted to Authorized Users through the use of access control lists which will grant access only after the Authorized User has

authenticated to the network using a Unique User ID and Hardened Password or other authentication mechanisms which provide equal or greater security, such as biometrics or smart cards. Data on disks mounted to such servers must be located in an area which is accessible only to authorized personnel, with access controlled through use of a key, card key, combination lock, or comparable mechanism.

For DSHS Confidential Information stored on these disks, deleting unneeded Data is sufficient as long as the disks remain in a Secured Area and otherwise meet the requirements listed in the above paragraph. Destruction of the Data, as outlined in Section 8 Data Disposition, may be deferred until the disks are retired, replaced, or otherwise taken out of the Secured 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 Secured 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 Secured 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 Secured Area which is only accessible to authorized personnel. When not in use, such records must be stored in a Secure Area.
- f. **Remote Access.** Access to and use of the Data over the State Governmental Network (SGN) or Secure Access Washington (SAW) will be controlled by DSHS staff who will issue authentication credentials (e.g. a Unique User ID and Hardened Password) to Authorized Users on Contractor's staff. Contractor will notify DSHS staff immediately whenever an Authorized User in possession of such credentials is terminated or otherwise leaves the employ of the Contractor, and whenever an Authorized User's duties change such that the Authorized User no longer requires access to perform work for this Contract.
- g. **Data storage on portable devices or media.**
 - (1) Except where otherwise specified herein, DSHS Data shall not be stored by the Contractor on portable devices or media unless specifically authorized within the terms and conditions of the Contract. If so authorized, the Data shall be given the following protections:
 - (a) Encrypt the Data.
 - (b) Control access to devices with a Unique User ID and Hardened Password or stronger authentication method such as a physical token or biometrics.
 - (c) Manually lock devices whenever they are left unattended and set devices to lock automatically after a period of inactivity, if this feature is available. Maximum period of inactivity is 20 minutes.

(d) Apply administrative and physical security controls to Portable Devices and Portable Media by:

- i. Keeping them in a Secure Area when not in use,
- ii. Using check-in/check-out procedures when they are shared, and
- iii. Taking frequent inventories.

(2) When being transported outside of a Secured 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.

(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 the 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,

(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:

Data stored on:	Will be destroyed by:
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. 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 subcontractor must be submitted to the DSHS Contact specified for this contract for review and approval.