

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

 <p>PERSONAL SERVICE CONTRACT DDDS General Medical and Psychological Consultative Services</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"/> Exhibit A – Data Security Requirements; Exhibit B, Exhibit C, Exhibit D, Exhibit E – MC Feedback Forms			
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.
- e. 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.

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

Special Terms and Conditions

1. **Definitions.** The words and phrases listed below, as used in this Contract, shall each have the following definitions:
- a. "Accurate Case Completion" means complete and correct documentation of a case as reflected in the Timekeeper Program. An accurate and completed case will contain all appropriate and required conclusions and signatures that satisfy all DDDS requirements and standards as defined in the Social Security Administration Program Operations Manual System (POMS).
 - b. "Acknowledgment of Professional Qualification and Confidentiality" means a document completed by the Contractor acknowledging his/her professional qualifications.
 - c. "Base Pay Rate" means the minimum amount of money a Contractor shall receive for accurately completing at least one case per hour.
 - 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 Adjudicator Staff" or "Adjudicative Staff" means a specialist who has been trained to interpret medical records, vocational data and qualifications for disability, and who is responsible for the overall determination. The specialist works in conjunction with a Medical Consultant (MC).
 - f. "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-Grand Medical Assistance.
 - g. "ESA" means Economic Services Administration, which is an administration of the Department of Social and Health Services.
 - h. "Federal SSA Contract" means a written agreement between the Social Security Administration and the Contractor to perform services.
 - i. "Impairment" means a client's physical or mental impairment as defined in Program Operation Manual System (POMS) DI 24501.020.
 - j. "MC" means Medical Consultant or the Contractor who is providing general medical and/or psychological consultative services as outline in this Contract.
 - k. "Medical Advice" means the directives, responses and/or guidance given to DDDS Adjudicative Staff or other DDDS staff regarding a medically related case question or medically related general question.
 - l. "Medical Advice Summary Screen" means the correspondence screen in the DDDS system between Medical Consultant and DDDS Adjudicative Staff regarding case questions, comments, review, etc.
 - m. "PII" means Personally Identifiable Information and is any information about an individual maintained by an agency, including (1) any information that can be used to distinguish or trace an individual's identity, such as name, social security number, date and place of birth, mother's maiden name, or biometric records; and (2) any other information that is linked or linkable to an individual, such as medical, education, financial, and employment information.
 - n. "POMS" means Program Operations Manual System which is the primary source of information or

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manual used by Social Security and DDDS employees to process claims for Social Security benefits.

- o. "Reporting Period" means the period of time when Timekeeper generates its standard reports. These reports are generated on the first of every month for the previous month.
 - p. "SSA" means Social Security Administration, a Federal Agency.
 - q. "SSA Enterprise Network" means SSA proprietary software system.
 - r. "Statement of Agreement" means a document that summarizes the agreed-upon expectations/terms of the special terms and conditions of this Contract.
 - s. "Timekeeper" means an electronic time tracking system to record the time worked. These reports shall be used to monitor Contractor's performance and adherence to set guidelines and standards as set forth in Section 8 of this Contract - Statement of Work.
 - t. "Training Work Hour" means sixty (60) minutes of time specifically set aside to focus and work on DDDS requirements associated with the duties of this Contract.
- 2. Purpose.** The purpose of this Contract is to provide medical and/or psychological consultation services to DDDS Adjudicator staff and others who make medical determinations on behalf of the Social Security Administration.
- 3. Previous Personal Service Contract Superseded.** In the event any previous contract between the Contractor and DDDS for the same services is in effect upon the date of execution of this Contract, this Contract shall serve to terminate and supersede the previous contract.
- 4. Professional Credentialing and Licensure.** The Contractor must be accredited, certified, licensed, or registered according to Washington State laws and regulations.
- a. During the term of this Contract, the Contractor shall not have, and shall remain without, restrictions or sanctions placed on accreditation, certification, license or registration. Within three (3) business days of Contractor's receipt of any information related to disciplinary action against Contractor's accreditation, certification, license, or registration, Contractor shall notify the DSHS Contact listed on page one of this Contract of such disciplinary action.
 - b. Credential Verification for Medical Providers and Psychologists. The Contractor shall provide the following documents to allow DDDS to verify professional credentials:
 - (1) Acknowledgement of Professional Qualification and Confidentiality;
 - (2) Statement of Agreement for Medical/Psychologists;
 - (3) Copy of current license in medical or clinical psychology; and
 - (4) Copy of current curriculum vitae.
- 5. Qualification Requirements.** To perform work under this Contract, Contractor must:
- a. Not be currently revoked or suspended by any state licensing authority;

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- b. Not be currently excluded, suspended or otherwise barred from participation in Medicare and Medicaid programs or any other Federal or federally assisted programs;
- c. Have a current license by the appropriate Washington Department of Health Examining Board or Medical Commission and operate under any stipulations ordered (exception: Medical Specialties can be licensed in any State), if applicable;
- d. Not have a current or pending Federal SSA Contract;
- e. Be available to work within the DDDS system availability hours (Monday – Friday, 6:00 AM – 8:00 PM) and provide consultation and questions during core business hours (Monday – Friday, 6:00 AM – 6:30 PM);
- f. Participate in mandatory quarterly Medical Consultant (MC) Meetings, held on established meeting dates the months of February, May, August, and November, unless DDDS, in its sole discretion, excuses Contractor's attendance in advance. Contractor's excused requests must be submitted in writing;
- g. Have experience and demonstrate a capacity working with medical records and be proficient in the use of computers; and
- h. For Medical Specialties:
 - (1) Have graduated from an accredited medical school receiving a degree as a Doctor of Medicine (MD) or a Doctor of Osteopathic Medicine (DO);
 - (2) Be licensed to practice medicine; and
 - (3) Have received at least two (2) years of post-medical graduate school training or experience in the appropriate medical specialty.
- i. For Psychologists:
 - (1) Have graduated from an accredited school of psychology receiving a degree as a Doctor of Philosophy (PhD), a Doctor of Psychology (PsyD), or a Doctor of Education (EDD);
 - (2) Be licensed to practice clinical psychology in the State of Washington;
 - (3) Have received the appropriate post-graduate school training and experience in the appropriate psychological specialty; and
 - (4) Have two (2) years of clinical experience as a psychologist in health service, at least one (1) year of which is post-Master's Degree.

- 6. Cultural Appropriateness and Competence.** Cultural Competence means a set of congruent behaviors, attitudes, and policies that come together in a system, agency or among professionals which enables individuals to work effectively in cross-cultural situations. It promotes respect and understanding of diverse cultures and social groups and recognizes each individual's unique attributes. The Contractor shall strive to provide Culturally Competent and relevant services which support the DSHS mission to improve the safety and health of individuals, families and communities. All services provided by the Contractor under the terms of this Contract shall be provided in a manner that is professional and respectful, ethical in behavior and communication, and promotes a positive working

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relationship.

- 7. Training Requirements.** With assistance from the DDDS Training and/or Professional Relations Department, the Contractor shall:
- a. For New Contractors:
- (1) Training shall be up to a maximum of two-hundred (200) training work hours. The training work hours must be completed within four (4) months of the Training Start Date. The DDDS Training Department and Contractor will determine the mutually agreed upon training schedule;
 - (2) Training work hours will consist of three (3) days, six (6) hours a day within the first two (2) weeks of the Training Start Date;
 - (3) Training work hours will be conducted during standard DDDS business hours (Monday – Friday, 6:00 AM – 8:00 PM);
 - (4) Failure to complete the training hours requirement within four (4) months and/or not successfully completing training within two-hundred (200) training work hours of the Training Start Date, shall result in immediate termination of the contract;
 - (5) Successful completion of the training is comprised of:
 - (a) Completion of training at a maximum of two-hundred (200) training work hours within four (4) months of the Training Start Date;
 - (b) Meeting “consistently satisfactory performance” measures on MC feedback form with feedback to be conducted at completion of thirty-six (36) training work hours one-hundred (100) training work hours, and conclusion of training between one-hundred sixty (160) to two-hundred (200) training work hours; and
 - (c) Receiving a training completion notification from the DDDS Training Manager by two-hundred (200) training work hours.
 - (6) Adhere to the number of working hours determined by DDDS Management that is based on the workload and resources available.
- b. For Renewed Contractors:
- (1) Attend any necessary/required orientation, conducted by DDDS, prior to signing and receiving a Contract;
 - (2) Attend training sessions as required (notifications will be made via email);
 - (3) Ensure the minimum consultation requirements as defined in Section 8.b. are met;
 - (4) Provide medical or psychological training to Adjudicator Staff and other Medical Consultants as situations may require; and
 - (5) Adhere to the number of working hours determined by DDDS Management that is based on the workload and resources available.

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8. Statement of Work. The Contractor shall provide the services and otherwise do all things necessary for or incidental to the performance of work, as set forth below. Failure to adhere to any of the provisions of this Statement of Work may result in this Contract being terminated for default. The first time any of the provisions have been violated, the Contractor shall receive a written warning. The second violation may result in this contract being terminated for default. The second violation does not have to be a repeat instance of the first violation. Any violation of the below terms may be cause to terminate for default after the written warning has been received.

a. Consultation Services. Contractor shall:

- (1) Conduct all DDDS work on DDDS provided laptop/system only;
- (2) Provide medical or psychological consultation and expertise needed to document the specific impairments(s), and to determine severity as required by the POMS;
- (3) Verify that decisions are supported by medical or psychological data, or if not, provide a statement specifying the medical or psychological information needed and authorize such testing as necessary;
- (4) Provide written opinions of a claimant's functional limitations or residual functional capacity;
- (5) Review and sign properly prepared SSA form for all cases consistent with WA DDDS Business Process, POMS and SSA Directives;
- (6) Provide consultation and instruction with Adjudicative Staff on medical issues through face-to-face, telephone, available technology (Skype, Microsoft Teams, Instant Messaging (IM) and/or video), or Medical Advice Summary Screen (in AS400)/Assessment/Evaluation Screen (in DCPS);
 - (a) Contractor shall not use email for case discussion or case-specific questions; and
 - (b) Contractor shall work with Adjudicative Staff when making changes to forms.
- (7) Provide consultation with the DDDS Client's attending physician or consultative examiner to clarify medical or psychological documentation, or to resolve medical or psychological severity determination problems; and
- (8) Maintain a level of quality and timeliness for all work product. This shall include, at a minimum, completing one (1) case per hour for case review. Case review shall consist of all necessary conclusions and signatures that satisfy DDDS requirements and standards.
 - (a) A quality signed and completed claim means the Contractor provided a policy-complaint, signed assessment ensuring the severity and functional limitations are accurate and evidence is accurate to complete the medical portion of the case review; and
 - (b) A quality returned claim means the Contractor provided specific recommendations for further development in order to allow for completion of the medical review in a policy-complaint and expeditious manner.

b. Consultation Requirements. The Contractor shall:

- (1) Following training, complete a minimum of one (1) case per hour for case review containing

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conclusions and signatures, as documented monthly by the Medical Consultant Performance Report. This is the minimum case ratio required to qualify for the base pay rate.

- (a) In the event the Contractor does not meet the required one (1) case per hour minimum, DSHS may terminate the contract for default; and
 - (b) While logged into Timekeeper, time spent on any non-SSA or DDDS business is prohibited. Time will not be paid, credited or otherwise considered in determining calculation of case per hour, and may result in contract termination.
- (2) Maintain a level of quality and timeliness that satisfies all SSA/DDDS requirements and standards in all cases;
- (3) Accurately provide and report the following acceptable Timekeeper activity codes. These codes must be reported and entered as the event occurs. Any correction must be made within twenty-four (24) hours. Timekeeper activity codes are:
- (a) 01 – Case Actions
 - (b) 02 – Special Assignments (requires pre-authorization by Office Chief). Description of work performed is required.
 - (c) 03 – Administrative (requires pre-authorization and entered by Medical Consultant Liaison or Office Chief). Used for meetings, training, and system errors.
 - (d) 08 – Out of State Case Review
- (4) Be available to work within the DDDS system availability hours (Monday – Friday, 6:00 AM – 8:00 PM) and provide consultation and questions during core business hours (Monday – Friday, 6:00 AM – 6:30 PM);
- (5) Barring any financial constraints or workload deficiency issues outside DDDS Management control, be required to work a minimum of twenty (20) hours per month and may be released or suspended if monthly hours fall below this threshold;
- (6) Attend and complete program orientation at contract initiation and as necessary;
- (7) Attend and complete training sessions as required;
- (8) Provide medical or psychological training to DDDS Adjudicator Staff and other Medical Consultants as situations may require;
- (9) Participate in mandatory quarterly meetings at the DDDS office, or under the discretion of the DDDS, on the time and day as designated by DDDS. To remain current with policy changes implemented by SSA to fulfill contractual services, the Contractor shall:
- (a) Be paid at the contracted amount for meetings attended; and
 - (b) Provide written notice and receive advance approval from the Office Chief or designee if unavoidable conflict necessitates an absence from a meeting.
 - i. No more than two (2) prior approved, excused absences from quarterly meetings are

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acceptable in a calendar year; and

- ii. One unexcused absence will result in a written warning. A second (2nd) unexcused absence may result in a termination of this Contract.

(10) Protect the security and integrity of the SSA Enterprise Network laptop computers and/or computer peripherals as may be made available by SSA. Equipment made available for Contractor use shall be used for DDDS contract-related activities only. Off-site equipment shall be secured to ensure no one except the Contractor has access to it. Equipment made available to Contractor shall be returned to DDDS upon termination of the Contract, or when requested by DDDS.

c. Consultation Parameters

(1) The Contractor shall:

- (a) Use DDDS assets and resources made available only to provide consultation services under this Contract;
- (b) Produce SSA program documents using the appropriate electronic or paper process as mandated by SSA;
- (c) Allow time in scheduled hours to allow availability for consultation periods within DDDS office hours (Monday – Friday, 6:00 AM – 8:00 PM);
- (d) Provide DDDS a written notice when planning any scheduled absences of two (2) weeks or longer;
- (e) Immediately notify the DDDS if there is any pending disciplinary action against the Contractor's professional license. Failure to do so could result in termination of an agreement to perform services and/or legal action;
- (f) Make recommendations for types of exams and testing to DDDS Adjudicative Staff. The final decision will be made by DDDS Adjudicative Staff in accordance with SSA policy;
- (g) Treat DDDS staff with courtesy and respect; and
- (h) Comply with all applicable workers' compensation, occupational disease, and occupational health and safety laws and regulations. The State of Washington and DDDS shall not be held responsible for claims filed by the Contractor under such laws and regulations.

(2) The Contractor shall not:

- (a) Directly contact medical providers outside the Contractor's scope of work. These prohibited actions include:
 - i. Recommending adjudicative staff to contact medical providers to perform consultative examinations;
- (A) All consultative examinations must be performed by a contracted DDDS medical provider or by the DDDS Client's treating physician;

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(B) All actions related to consultative examination ordering must be performed by Adjudicative Staff and the DDDS Consultation Examination Scheduling Unit; and

(C) All scheduling conflicts and requests shall be made through the Adjudicative Staff.

ii. Obtaining medical evidence; and

iii. Correspondence with medical providers to conduct/schedule consultative examinations, etc.

(b) Provide comments or references that are unprofessional in case files, emails, letters, or any correspondence. All communications should promote a positive working environment; and

(c) Use social media (i.e. Facebook, Google, Instagram, Twitter, etc.) to obtain DDDS Client information. The Contractor must follow all SSA rules pertaining to security of files, systems and confidential information.

i. SSA security policy is available for review from DDDS and is incorporated herein by reference. Entering PII in an internet search engine or social media network may compromise the confidentiality of PII and is against SSA policy; and

ii. The responsibility to protect PII within the Contractor's control applies at all times, regardless of whether the Contractor is at an official duty station, another official work location, an alternative duty station, or off duty. This applies whether the Contractor is using a computer or personal device (i.e. Blackberry or Smartphone). Any notes containing PII must be maintained electronically on DDDS provided laptop (such as Microsoft Word).

9. Background Checks.

a. The DDDS requires all Contractors, who may have access to SSA and/or DSHS data, to undergo a Federal Background Check prior to DDDS consideration of a Contract;

b. The DDDS reserves the right to initiate such background checks at management discretion;

c. The Contractor must complete all background check-related activities in a timely and accurate manner; and

d. If the Contractor fails to complete background check-related activities or does not pass the background check, immediate termination or cancellation of the contract may be performed.

10. Review and Performance Monitoring

a. The Contractor shall provide DDDS access to inspect the Contractor's workspace and/or computer to ensure confidentiality and security of claims folders and equipment is maintained; and

b. DDDS will review the Contractor's performance based on the criteria outlined in Section 8 above (Statement of Work).

11. Termination.

a. For New Contractors:

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- (1) The first time a Contractor falls below any of the minimum standards as defined in Section 7.a. of this Contract, the Contractor shall be given a written notice of the deficiency;
- (2) The Contractor shall have the following training review period after the Contractor is given written notice of the Contractor's deficiency to correct the deficiency. Training reviews will occur after the Contractor works thirty-six (36) hours, one-hundred (100), one-hundred sixty (160) hours, and the conclusion of training on or before two-hundred (200) hours; and
- (3) After the period of time to correct the initial deficiency has passed, a finding by the DDDS that the Contractor's performance fails to meet any of the minimum standards as defined in Section 7.a. may result in the immediate termination of this Contract by DDDS.

b. For Renewed Contractors:

- (1) The first time a Contractor falls below any of the minimum standards as defined in Section 8.b. of this Contract, the Contractor shall be provided communication and documented on the communication record of the deficiency following the end of that report period to respond and schedule a meeting;
- (2) The Contractor shall be provided a review period after the Contractor is given written notice of the Contractor's deficiency to correct the deficiency;
- (3) After the period of time to correct the initial deficiency has passed, a finding by the DDDS that the Contractor's performance fails to meet any of the minimum standards as defined in Section 8.b. may result in the immediate termination and/or non-renewal of this Contract by DDDS in the future;
 - (a) Example: A Contractor fails to maintain a minimum average of one (1) case per hour in February. Contractor shall receive written notice of the deficiency in March. If the Contractor fails to correct this special deficiency or fails to meet any standards as set forth in Section 8.b. for the March reporting period, the Contractor may be terminated for cause.
- (4) If the Contractor does not meet SSA security and suitability standards, this Contract will be null and void.

12. Consideration. Total consideration payable to the Contractor for satisfactory performance of direct DDDS work under this Contract shall be based on the completion of work as described in the Special Terms and Conditions of this Contract.

- a. Properly completed work must be submitted by the Contractor in Timekeeper in the Monthly Time Report form.
- b. Personal or non-DDDS business time will not be included in Timekeeper hours and is not billable under this Contract. Hours billed for non-DDDS business will be removed from Timekeeper, and one (1) written warning will be offered. If non-DDDS business is billed for a second (2nd) time, the Contractor shall be terminated.
- c. Based on changes at the federal level, budget constraints, or management decision, DDDS reserves the right to revise the hourly rate or total available hours. Notice of any changes will be made in writing to the Contractor.
- d. In the event there are no cases for review, the Contractor may be required to log out of Timekeeper

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and may be required to adjust scheduled hours.

13. Billing

- a. Invoice System. The Contractor shall bill DDDS on a monthly basis for authorized hours of services delivered. The Contractor shall complete and submit the Contractor Monthly Time Report form. The Contractor shall sign the form and obtain the signature of the Office Chief or designee.
- b. Payment. DDDS shall mail the Contractor's payment for services to the mailing address specified on page one (1) of this Contract, or deliver payment to the Contractor by direct deposit as designated by the Contractor prior to payment.
- c. Overpayment. If DDDS pays the Contractor for services authorized, but not provided by the Contractor in accordance with this Contract's "Statement of Work," the amount paid shall be considered to be an overpayment and must be returned to DDDS.
- d. Travel. Travel expenses, other than those identified here or for travel requested and preapproved by DDDS, will not be reimbursed. Travel arrangements will be made by DDDS or if made by the Contractor, must be approved by DDDS prior to travel in order to be reimbursed. Any travel approved shall be reimbursed in accordance with the rules and at the rates then in effect as published by the Office of Financial Management, State of Washington.
- e. In the event of termination of this Contract, final payment will be held until approved by DDDS.

14. Payment.

The Contractor agrees to accept DDDS payment as the sole and complete payment for the services provided under this Contract and shall not charge any other entity for any of the services rendered hereunder. The DDDS shall authorize payment as follows:

- a. Where Contractor produces a minimum of one (1) case per hour per month, Contractor shall be paid \$ _____ per hour for total monthly hours.
- b. 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.
- c. Contractor must timely submit all invoices for the delivered services such that DDDS receives all invoices no later than one year from the date of service being invoiced.
- d. DDDS may, at its sole discretion, withhold payment claimed by the Contractor for services rendered, if the Contractor fails to satisfactorily comply with any terms or conditions of this Contract.

15. Disputes

- a. Request. Either party to the Contract may request contract dispute resolution. DDDS decisions to terminate the Contract for default are not disputable under this Section. Nor are rates set by law, regulation or DSHS policy disputable. The request for contract dispute resolution shall be:
 - (1) Submitted to ESA in writing and include the Contractor's name, address and the DSHS Contract Number;

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- (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/Economic Services Administration
Office of the Assistant Secretary (OAS)
Attention: Contracts Unit
P.O. Box 45445
Olympia, WA 98504-5445

- (3) Received by the ESA/Operations Support Division 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.

- (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.

- (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.
- (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.

- 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:

Jennifer Elsen, Medical Relations Manager
Department of Social and Health Services
Division of Disability Determination Services
P.O. Box 9303
Olympia, Washington 98507-9303

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

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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.

SAMPLE

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Exhibit A – Data Security Requirements

1. **Definitions.** The words and phrases listed below, as used in this Exhibit, shall each have the following definitions:
 - a. “AES” means the Advanced Encryption Standard, a specification of Federal Information Processing Standards Publications for the encryption of electronic data issued by the National Institute of Standards and Technology (<http://nvlpubs.nist.gov/nistpubs/FIPS/NIST.FIPS.197.pdf>)
 - b. “Authorized 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.

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- i. “Mobile Device” means a computing device, typically smaller than a notebook, which runs a mobile operating system, such as iOS, Android, or Windows Phone. Mobile Devices include smart phones, most tablets, and other form factors.
 - j. “Multi-factor Authentication” means controlling access to computers and other IT resources by requiring two or more pieces of evidence that the user is who they claim to be. These pieces of evidence consist of something the user knows, such as a password or PIN; something the user has such as a key card, smart card, or physical token; and something the user is, a biometric identifier such as a fingerprint, facial scan, or retinal scan. “PIN” means a personal identification number, a series of numbers which act as a password for a device. Since PINs are typically only four to six characters, PINs are usually 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:

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- 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

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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.

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- 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.

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- (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.

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- (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.

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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.

Special Terms and Conditions

Exhibit B

MC FEEDBACK FORM

MC:	Reviewer Name:	
Feedback Session: 1 (36 hours)	Evaluation Period:	Date:

PERFORMANCE REVIEW

- **Rate the MC's** level of performance using the definitions below.
- An explanation is required on all ratings.
- Written Notice **is required for any single rating of "Performance consistently does."**

PERFORMANCE RATINGS:

Performance consistently satisfactory
Performance consistently not satisfactory

PERFORMANCE AREAS:

SSA Policy – The MC demonstrates understanding of SSA policy regarding case types, onset, and acceptable medical source requirements. MC has been able to discuss these topics in training and ask relevant questions.	
Performance consistently satisfactory	<input type="checkbox"/>
Performance consistently not satisfactory	<input type="checkbox"/>
Explanation:	
Sequential Evaluation – The MC demonstrates understanding of the steps in sequential evaluation and their role in that step. MC understands the process of determining a severe impairment. They are able to access and understand the listings. The MC understands when to move on to a residual functional capacity evaluation. They understand how to rate the most a claimant can do despite their limitations on an RFC/MRFC.	
Performance consistently satisfactory	<input type="checkbox"/>
Performance consistently not satisfactory	<input type="checkbox"/>
Explanation:	

Special Terms and Conditions

Communication and Case Management – The MC is able to successfully access claims through AS400, eView, and eCAT or DCPS. MC is able to effectively communicate with Trainer via email, phone, instant message, or face-to-face. The MC understands that they will access claims, review the claim and send their assessment to the trainer before returning the claim to the adjudicator or completing the claim.
Performance consistently satisfactory <input type="checkbox"/> Performance consistently not satisfactory <input type="checkbox"/> Explanation:
Business Process – MC has adhered to the MC training plan and expectations as well as the MC Business Process. The MC is using the correct case review codes in time keeper. The MC has directed all questions to appropriate source (Trainer, MC liaison, Mentor MC, or Office Chief).
Performance consistently satisfactory <input type="checkbox"/> Performance consistently not satisfactory <input type="checkbox"/> Explanation:

Reviewer Signature: _____ Date: _____

MC Signature: _____ Date: _____

The above MC signature indicates only that the MC has received the Feedback Form and was given the opportunity to respond, if desired. It does not necessarily indicate agreement with the feedback.

Special Terms and Conditions

Exhibit C

MC FEEDBACK FORM

MC:		Reviewer Name:	
Feedback Session: 2 (100 hours)	Evaluation Period:	Date:	

PERFORMANCE REVIEW

- **Rate the MC's** level of performance using the definitions below.
- An explanation is required on all ratings.

PERFORMANCE RATINGS:

Performance consistently satisfactory
Performance consistently not satisfactory

PERFORMANCE AREAS:

<p>SSA Policy – The MC has a clear understanding of SSA policy regarding case types, onset, medically determinable impairments (MDI), acceptable medical source (AMS) requirements, and Chavez assessments. MC can apply these concepts to claim reviews accurately.</p>	
Performance consistently satisfactory	<input type="checkbox"/>
Performance consistently not satisfactory	<input type="checkbox"/>
Explanation:	
<p>Sequential Evaluation – The MC understands the steps in sequential evaluation and the role the MC has in the process. MC understands what a severe impairment is and how to assess a severe impairment using medical records and functional evidence. MC can independently access the listings book, understand when to apply a listing, and accurately document a meets listing decision. The MC is able to understand how a claim could equal a listing and what documentation requirements are needed to make this determination. The MC is able to determine when a residual functional capacity evaluation is required, demonstrates an ability to accurately rate the most a claimant can do despite MDIs and accurately completes RFCs/MRFCs.</p>	
Performance consistently satisfactory	<input type="checkbox"/>
Performance consistently not satisfactory	<input type="checkbox"/>
Explanation:	

Special Terms and Conditions

Communication and Case Management – The MC is able to independently access claims through AS400, eView, and eCAT or DCPS and can navigate and read file documentation through DMA. MC is able to return cases as complete or return for more information appropriately. MC completes, on average, 1 case every 4 hours. MC is able to effectively communicate with Trainer via email, phone, instant message, or face-to-face in order to assess claims before returning to the adjudicator.
Performance consistently satisfactory <input type="checkbox"/> Performance consistently not satisfactory <input type="checkbox"/> Explanation:
Business Process – MC has adhered to the MC training plan and expectations as well as the MC Business Process. MC has sent cases for review before completing. MC has directed all questions to appropriate source (Trainer, MC liaison, Mentor MC, or Office Chief).
Performance consistently satisfactory <input type="checkbox"/> Performance consistently not satisfactory <input type="checkbox"/> Explanation:

Reviewer Signature: _____ Date: _____

MC Signature: _____ Date: _____

The above MC signature indicates only that the MC has received the Feedback Form and was given the opportunity to respond, if desired. It does not necessarily indicate agreement with the feedback.

Exhibit D

MC FEEDBACK FORM

MC:		Reviewer Name:	
Feedback Session: 3 (160 hours)	Evaluation Period:	Date:	

PERFORMANCE REVIEW

- **Rate the MC's** level of performance using the definitions below.
- An explanation is required on all ratings.

PERFORMANCE RATINGS:

Performance consistently satisfactory	
Performance consistently not satisfactory	

PERFORMANCE AREAS:

<p>SSA Policy – The MC has a clear understanding of SSA policy regarding case types, onset, medically determinable impairments (MDI), acceptable medical source (AMS) requirements, and Chavez assessments. MC can apply these concepts to claim review accurately.</p>	
Performance consistently satisfactory	<input type="checkbox"/>
Performance consistently not satisfactory	<input type="checkbox"/>
Explanation:	
<p>Sequential Evaluation – The MC understands the steps in sequential evaluation and the role the MC has in the process. MC understands what a severe impairment is and how to assess a severe impairment using medical records and functional evidence. MC can independently access the listings book, understand when to apply a listing, and accurately document a meets listing decision. The MC is able to understand how a claim could equal a listing and what documentation requirements are needed to make this determination. The MC is able to determine when a residual functional capacity evaluation is required, demonstrates an ability to accurately rate the most a claimant can do despite MDIs and accurately completes RFCs/MRFCs.</p>	
Performance consistently satisfactory	<input type="checkbox"/>
Performance consistently not satisfactory	<input type="checkbox"/>
Explanation:	

Reconsiderations – The MC demonstrates the ability to discern between initial and reconsideration case types. The MC is able to perform a de novo review of the reconsideration claim and demonstrates an ability to address new and worsening conditions at the reconsideration level. The MC understands and has the ability to address prior administrative findings.

Performance consistently satisfactory

Performance consistently not satisfactory

Explanation:

Communication and Case Management – The MC is able to independently access claims through AS400, eView, and eCAT, or DCPS, and can navigate and read file documentation through DMA. They are able to return cases as complete or return for more information appropriately. MC completes 1 case every 3 hours, on average. MC is able to effectively communicate with Trainer via email, phone, instant message, and face-to-face in order to assess claims before returning to the adjudicator.

Performance consistently satisfactory

Performance consistently not satisfactory

Explanation:

Business Process – MC has adhered to the MC training plan and expectations as well as the MC Business Process. MC has sent cases for review before completing. MC has directed all questions to appropriate source (Trainer, MC liaison, Mentor MC, or Office Chief).

Performance consistently satisfactory

Performance consistently not satisfactory

Explanation:

Reviewer Signature: _____ Date: _____

MC Signature: _____ Date: _____

The above MC signature indicates only that the MC has received the Feedback Form and was given the opportunity to respond, if desired. It does not necessarily indicate agreement with the feedback.

Exhibit E

MC FEEDBACK FORM

MC:		Reviewer Name:	
Feedback Session: FINAL (~ 200 hours)	Evaluation Period:	Date:	

PERFORMANCE REVIEW

- **Rate the MC's** level of performance using the definitions below.
- An explanation is required on all ratings.

PERFORMANCE RATINGS:

Performance consistently satisfactory	<input type="checkbox"/>
Performance consistently not satisfactory	<input type="checkbox"/>

PERFORMANCE AREAS:

<p>SSA Policy – The MC has a clear understanding of SSA policy regarding case types, onset, medically determinable impairments (MDI), acceptable medical source (AMS) requirements, and Chavez assessments. MC can apply these concepts to claim review accurately.</p>	
Performance consistently satisfactory	<input type="checkbox"/>
Performance consistently not satisfactory	<input type="checkbox"/>
Explanation:	
<p>Sequential Evaluation – The MC understands the steps in sequential evaluation and the role the MC has in the process. MC understands what a severe impairment is and how to assess a severe impairment using medical records and functional evidence. MC can independently access the listings book, understand when to apply a listing, and accurately document a meets listing decision. The MC is able to understand how a claim could equal a listing and what documentation requirements are needed to make this determination. The MC is able to determine when a residual functional capacity evaluation is required, demonstrates an ability to accurately rate the most a claimant can do despite MDIs and accurately completes RFCs/MRFCs.</p>	
Performance consistently satisfactory	<input type="checkbox"/>
Performance consistently not satisfactory	<input type="checkbox"/>
Explanation:	

Reconsiderations – The MC demonstrates the ability to discern between initial and reconsideration case types. The MC is able to perform a de novo review of the reconsideration claim and demonstrates an ability to address new and worsening conditions at the reconsideration level. The MC understands and has the ability to address prior administrative findings.

Performance consistently satisfactory

Performance consistently not satisfactory

Explanation:

Communication and Case Management – The MC is able to independently access claims through AS400, eView, and eCAT, or DCPS, and can navigate and read file documentation through DMA. They are able to return cases as complete or return for more information appropriately. MC completes 1 case every 3 hours, on average. MC is able to effectively communicate with Trainer via email, phone, instant message, and face-to-face in order to assess claims before returning to the adjudicator.

Performance consistently satisfactory

Performance consistently not satisfactory

Explanation:

Business Process – MC has adhered to the MC training plan and expectations as well as the MC Business Process. MC has sent cases for review before completing. MC has directed all questions to appropriate source (Trainer, MC liaison, Mentor MC, or Office Chief).

Performance consistently satisfactory

Performance consistently not satisfactory

Explanation:

Reviewer Signature: _____ Date: _____

MC Signature: _____ Date: _____

The above MC signature indicates only that the MC has received the Feedback Form and was given the opportunity to respond, if desired. It does not necessarily indicate agreement with the feedback.