



DEPARTMENT OF ECONOMIC SECURITY

Your Partner For A Stronger Arizona

DIVISION OF DEVELOPMENTAL DISABILITIES

Sent on Behalf of DES/Business Operations

Please do not reply to this message

TRANSMITTAL DATE: August 7, 2015

TOPIC: Background Checks-Central Registry, List of Excluded Individuals/Entities Search (LEIE), and System of Award Management (SAM)

ATTACHMENT: [Personnel Hiring and Training Requirements Quick Reference Guide](#)

Please distribute this information to all staff responsible for personnel activities.

Central Registry Background Checks

Arizona Revised Statute, [A.R.S. § 8-804](#) requires that a Central Registry Background Check be used as a factor in determining the qualifications of a person who provides direct service to a child or vulnerable adult, and who is an applicant, employee, subcontractor employee, or volunteer for a Qualified Vendor. The Central Registry is a database of child abuse/neglect reports that is maintained by the Department of Child Safety. The Division of Developmental Disabilities (DDD) conducts these background checks for Qualified Vendors. Requests for Central Registry Background Checks must be submitted to DDD via **SECURE** email at DDDCentralRegistrySearchRequest@azdes.gov OR faxed to the DDD Contract Management Unit at (602) 542-8193, with "Central Registry Request" noted in the subject line. If you don't have access to secure email, please use the following link to submit your request securely: https://secure.azdes.gov/secure_contact_us/. The *Request for Central Registry Background Check Form* (DDD-1703A) is available on the internet and can be accessed via the DES forms library. Please use the following link to access the form:

<https://www.azdes.gov/InternetFiles/InternetProgrammaticForms/doc/DDD-1703AFORFF.doc>

The Division of Developmental Disabilities is authorized to maintain a list of disqualifying acts for the Central Registry Background Check; the list of disqualifying acts is located at the following link:

https://www.azdes.gov/InternetFiles/InternetProgrammaticForms/pdf/cps_central_registry_disqualification_acts.pdf.

A Direct Service Position Form is completed to certify that a person is **not** the subject of a current investigation and is **not** named in a substantiated report of abuse or neglect. The form must be completed prior to a person providing services to children or vulnerable adults and in conjunction with the employer's submittal of a Central Registry Background Check to DDD. If the form certifies that the person is not the subject of an investigation and has not been named in a substantiated report of abuse or neglect, an employer may allow the person to provide direct care services pending the results of a Central Registry Background Check by DDD. The completed form must be protected as a confidential document. The *Direct Service Position Form* (DDD-1727A) is available on the internet and can be

accessed via the DES forms library. Please use the following link to access the form:
<https://www.azdes.gov/InternetFiles/InternetProgrammaticForms/doc/DDD-1727AFORFF.doc>

For Questions about the Central Registry requirements, please contact:
DDDCentralRegistrySearchRequest@azdes.gov

List of Excluded Individuals/Entities Search (LEIE) and System of Award Management (SAM)

Federally funded health care programs are prohibited from paying for services provided by individuals or entities that have been involved with fraud, abuse or have had license suspension or revocation. To protect and safeguard these programs, the Office of the Inspector General (OIG) and U.S. General Services Administration (GSA) excludes the provider from participation. Information about the individual or entity is entered into LEIE and SAM, databases that maintain information about all excluded providers. This information includes the provider's name, address, provider type, and the basis of the exclusion. The Qualified Vendor is required to conduct a search of the LEIE and SAM databases for all employees, contractors, and/or subcontractor employees. This can be done through the websites for the respective databases. The Qualified Vendor is required to conduct a search no less frequently than **monthly**. This requirement is located in Section 6 Terms and Conditions for Qualified Vendors of the QVA.

The List of Excluded Individuals/Entities ("LEIE") <http://oig.hhs.gov/exclusions/>
The System for Award Management ("SAM") <https://www.sam.gov/portal/public/SAM/>

The Qualified Vendor shall maintain the Federal Database Check results and any related forms or documents in a confidential file for five (5) years after termination of the Qualified Vendor Agreement. Compliance with the above database checks will be reviewed by the DES/DDD **Office of Licensing, Certification, and Regulation (OLCR)** and/or Contract Monitoring during certification audits and/or monitoring. For the safety of DDD members, a lack of compliance will result in staff not being able to work with DDD members and the vendor will be required to conduct immediate remediation. In addition, the Qualified Vendor may be issued a Corrective Action Plan and potential contract action.

For questions, please contact the DES/ DDD Contract Monitoring unit at DDDMonitoring@azdes.gov.

Thank you



DEPARTMENT OF ECONOMIC SECURITY

Your Partner For A Stronger Arizona

**Division of Developmental Disabilities
Personnel Hiring and Training Requirements**

QUICK REFERENCE GUIDE

Applicability:

Applies to DDD Independent Providers (IPA) and Qualified Vendor Staff (unless otherwise noted)

Purpose:

The Division of Developmental Disabilities (DDD) contracts with Qualified Vendors and Independent Providers (*services Independents provide) to provide direct care services to Division ALTCS members. These services include: Group Home; Day Program; Employment Services; Adult Developmental Home *; Child Developmental Home *; Home and Community Based Services (in-Home Supports) *.

The References listed on page 2 of this document, outline the mandatory training and hiring requirements for personnel working with Division members. It is the expectation that staff working with members will be properly trained and all hiring requirements are completed as prescribed. The Division reviews/audits provider staff files during monitoring visits, compliance audits, re-certification, licensure, re-licensure, in response to complaints, incident reports and/or licensing concerns. If a provider is determined to be out of compliance, the Division will impose corrective actions within their authority. This may include remediation of the missing components, issuing a Corrective Action Plan, taking adverse regulatory and/or contract action. **In addition, staff who do not meet the requirements to work, may be requested to not work with DDD members until the hiring and training requirements are in compliance.**

The Matrices on the following pages shall be used as a guide to complete the required personnel hiring and training requirements for employees who are working with DDD members.

The descriptions are not all inclusive. Complete information can be obtained by utilizing the links in the Reference section on page 2.

References Outlining Personnel Hiring and Training Requirements:

- TITLE 36. PUBLIC HEALTH, Article 3. Licensing and Monitoring of Community Residential Settings
<http://www.azleg.state.az.us/ArizonaRevisedStatutes.asp?Title=36>
 - 36-594 Denial, suspension or revocation of license
 - 36-594.01 Fingerprinting of contract providers and home and community based service providers

- TITLE 6. ECONOMIC SECURITY, Chapter 6. Department of Economic Security, Developmental Disabilities
http://apps.azsos.gov/public_services/Title_06/6-06.pdf
 - Article 8: R6-6-808. Staff Qualifications, Training, and Responsibilities
 - Article 9: R6-6-906. Training
 - Article 15: Standards for Certification of Home and Community Based Services (HCBS) Providers

- TITLE 41. STATE GOVERNMENT, Article 3.1 Fingerprinting Division
<http://www.azleg.state.az.us/ArizonaRevisedStatutes.asp>
 - 41-1758 Definitions
 - 41-1758.01 Fingerprinting division; powers and duties
 - 41-1758.02 Fingerprint checks; registration
 - 41-1758.03 Fingerprint clearance cards; issuance; immunity
 - 41-1758.04 Denial, suspension or revocation of fingerprint clearance card
 - 41-1758.05 Violation; classification
 - 41-1758.06 Fingerprint clearance card fund; exemption from lapsing
 - 41-1758.07 Level I fingerprint clearance cards; definitions

- TITLE 46. WELFARE
<http://www.azleg.state.az.us/FormatDocument.asp?inDoc=/ars/46/00141.htm&Title=46&DocType=ARS>
 - 46-141. Criminal record information checks; fingerprinting employees and applicants; definition

- RFQVA #DDD 710000- Qualified Vendor Application <https://www.azdes.gov/landing.aspx?id=4792>

- Independent Provider Agreement

- Arizona Health Care Cost Containment System Medical Policy Manual (AHCCCS AMPM), Chapter 1200
<http://www.azahcccs.gov/shared/MedicalPolicyManual/MedicalPolicyManual.aspx>

Other References That Pertain to Division Services:

- TITLE 6. ECONOMIC SECURITY, Chapter 6. Department of Economic Security, Developmental Disabilities
http://apps.azsos.gov/public_services/Title_06/6-06.pdf
 - Article 10: R6-6-1005. Training Requirements for Child Developmental Home Foster Parents
 - Article 11: R6-6-1105. Training Requirements for Adult Developmental Home Providers

- TITLE 6. ECONOMIC SECURITY, Chapter 18. Department of Economic Security Office of Licensing, Certification and Regulation
http://apps.azsos.gov/public_services/Title_06/6-18.pdf
 - Article 7: Life Safety Inspections

- TITLE 9. HEALTH SERVICES, CHAPTER 33. DEPARTMENT OF HEALTH SERVICES/GROUP HOMES FOR INDIVIDUALS WITH A DEVELOPMENTAL DISABILITY
http://apps.azsos.gov/public_services/Title_09/9-33.pdf

GROUP HOME SERVICES

Standard Timeframes	Hiring and Training Requirements	Further Explanation
FOR ALL HOME AND COMMUNITY BASED SERVICES (CERTIFICATION): See List of References on Page 2		
Completed During the Hiring Process AND Prior to Working	Date of Hire Documented in File	Written documentation of the date of hire for each direct-care staff.
	18+ Years of Age Verified	Proof that each employee is at least 18 years old is documented.
	Qualifications Verified	Written documentation staff has the experience required per Article 15.
	3 References Verified	Copies of three references for staff as provided by R6-6-1504(D).
	Current Driver's License *Staff cannot drive until verification is received.	A copy of a current valid driver's license, valid registration, and current liability insurance coverage as required by A.R.S. Title 28 if providing transportation for members.
	Proof of Submission of Completed Application For a Fingerprint Clearance Card Within 7 Days of Hire OR Documentation that Current Card was Verified	<p>Copy of fingerprint clearance letters for each individual as provided by R6-6-1506(B). Or Documentation showing that fingerprints have been taken as prescribed in R6-6-1506 within 7 days of hire.</p> <p>➤ 46-141. <u>Criminal record information checks; fingerprinting employees and applicants; definition</u> Each license granted by the department of economic security or the department of child safety and each contract entered into between the department of economic security or the department of child safety and any contract provider for the provision of services to juveniles or vulnerable adults shall provide that, as a condition of employment, personnel who are employed by the licensee or contractor, whether paid or not, and who are required or allowed to provide services directly to juveniles or vulnerable adults shall have a valid fingerprint clearance card issued pursuant to section 41-1758.07 or shall apply for a fingerprint clearance card within seven working days of employment.</p> <p>➤ 41-1758.02. <u>Fingerprint checks; registration</u> The person, provider or agency shall submit a full set of fingerprints to the division for the purpose of obtaining a state and federal criminal history records check pursuant to section 41-1750 and Public Law 92-544. If the person can present a valid fingerprint clearance card or credible documentation that the person's application for a fingerprint clearance card is pending, the person, provider or agency is not required to submit another application for a fingerprint clearance card. The division may exchange this fingerprint data with the federal bureau of investigation.</p>
	Proof of Submission of Current Fingerprint Clearance Card OR Verification of Re-	Documentation showing that fingerprints have been taken as prescribed in R6-6-1506 and submitted. OR Proof that current Fingerprint Clearance Card has been verified.

Fingerprinting Prior to Expiration	<p>➤ 46-141. <u>Criminal record information checks; fingerprinting employees and applicants; definition</u></p> <p>Each license granted by the department of economic security or the department of child safety and each contract entered into between the department of economic security or the department of child safety and any contract provider for the provision of services to juveniles or vulnerable adults shall provide that, as a condition of employment, personnel who are employed by the licensee or contractor, whether paid or not, and who are required or allowed to provide services directly to juveniles or vulnerable adults shall have a valid fingerprint clearance card issued pursuant to section 41-1758.07 or shall apply for a fingerprint clearance card within seven working days of employment.</p> <p>➤ 41-1758.02. <u>Fingerprint checks; registration</u></p> <p>The person, provider or agency shall submit a full set of fingerprints to the division for the purpose of obtaining a state and federal criminal history records check pursuant to section 41-1750 and Public Law 92-544. If the person can present a valid fingerprint clearance card or credible documentation that the person's application for a fingerprint clearance card is pending, the person, provider or agency is not required to submit another application for a fingerprint clearance card. The division may exchange this fingerprint data with the federal bureau of investigation.</p>
Criminal History Self Disclosure Affidavit (At time of Hire and Re-Fingerprinting)	A completed declaration of criminal history as prescribed in R6-6-1504(B) (6). Is required to be completed at time of hire and when re-fingerprinted. https://www.azdes.gov/InternetFiles/Reports/pdf/LCR-1034AFORNA.pdf
Lawful Presence/Right to Work Verified	An employee must show documentation to his/her employer to show their identity and authorization to work.
Professional License (as applicable) *Cannot work until copy is in file	Copies of any applicable professional license or certification as prescribed in R6-6-1504(C).
Direct Service Position Declaration Form	The Direct Service Position Form (DDD-1727A) is available on the internet and can be accessed via the DES forms library. Please use the following link to access the form: https://www.azdes.gov/InternetFiles/InternetProgrammaticForms/doc/DDD-1727AFORFF.doc
Central Registry Background Check	The Request for Central Registry Background Check Form (DDD-1703A) is available on the internet and can be accessed via the DES forms library. Please use the following link to access the form: https://www.azdes.gov/InternetFiles/InternetProgrammaticForms/doc/DDD-1703AFORFF.doc
Monthly Check OIG LEIE Clearance System	Verification that The List of Excluded Individuals/Entities ("LEIE") is checked no less frequently than monthly to determine whether any staff have been excluded from participation in Federal health care programs by checking the following Federal database: http://oig.hhs.gov/exclusions/ .
Monthly Check SAM Clearance System	Verification that The System for Award Management ("SAM") is checked no less frequently than monthly to determine whether any staff have been excluded from participation in Federal health care programs by checking the following Federal database: https://www.sam.gov/portal/public/SAM/ .

Required Within 90 Days of Employment AND Prior to Working Alone OR With Other Untrained Staff	Member Orientation* Within 14 Days of Hire	Written documentation showing that the individual providing service has received an orientation to the specific needs of each member served as provided by R6-6-1520(A)(1)(a).
	Current CPR Training	Written documentation of completion of a current Cardiopulmonary Resuscitation (CPR) certificate as provided by R6-6-1520(A)(1)(b).
	Current First Aid Training	Written documentation of current First-aid training as provided by R6-6-1520(A)(1)(c).
	Agency P&P	Written documentation demonstrating staff were trained on agency policies and procedures within 90 days of employment & prior to working alone or with other untrained staff and then at least annually.
	Emergency Plan for the Setting	Written Documentation that staff have been orientated to safety procedures, including the agency plan for meeting potential emergencies and disasters, as required by R6-6-713 within 90 days of employment & prior to working alone or with other untrained staff and then at least annually.
	Article 9 (Prohibitions)	Written documentation that each individual service provider and direct-care staff has reviewed Article 9, except as provided by R6-6-1521.
	Prevention and Support Certification (formerly called CIT) *If Applicable	Written documentation showing staff has completed training in prevention and support, formerly called client intervention techniques, as provided by R6-6-1520(C). This training is only required when 1 or more individuals have an approved BTP which identifies aggressive or assaultive target behavior.
	Medication Administration *Cannot administer meds until trained	Written documentation that staff were trained on Medication Administration, if relevant to the needs of members.
	Seizure Management *If Applicable	Written documentation that staff were trained on Seizure Management if relevant to the needs of members.

SPECIFIC TO GROUP HOMES: Title 6. Chapter 6. Article 8 & 9

Required Within 90 Days of Employment	Mission & Values	Written documentation demonstrating staff were trained in this area.
	Respect, Dignity, & Interactions	Written documentation demonstrating staff were trained in this area.
	Skill Building Techniques	Written documentation demonstrating staff were trained in this area.
	Prevention of Behavioral Incidents	Written documentation demonstrating staff were trained in this area.
	ISP Process	Written documentation demonstrating staff were trained in this area.
	Communication with Families	Written documentation demonstrating staff were trained in this area.
	Client Rights	Written documentation demonstrating staff were trained in this area.
	Confidentiality	Written documentation demonstrating staff were trained in this area.

ADULT/CHILD DAY PROGRAMS AND EMPLOYMENT SERVICES

Standard Timeframes	Hiring and Training Requirements	Further Explanation
FOR ALL HOME AND COMMUNITY BASED SERVICES (CERTIFICATION): See List of References on Page 2		
Completed During the Hiring Process AND Prior to Working	Date of Hire Documented in File	Written documentation of the date of hire for each direct-care staff.
	18+ Years of Age Verified	Proof that each employee is at least 18 years old is documented in the file.
	Qualifications Verified	Written documentation staff has the experience required per Article 15.
	3 References Verified	Copies of three references for staff as provided by R6-6-1504(D).
	Current Driver's License *Staff cannot drive until verification is received.	A copy of a current valid driver's license, valid registration, and current liability insurance coverage as required by A.R.S. Title 28 if providing transportation for members.
	Proof of Submission of Completed Application For a Fingerprint Clearance Card Within 7 Days of Hire OR Documentation that Current Card was Verified	<p>Copy of fingerprint clearance letters for each individual as provided by R6-6-1506(B). Or Documentation showing that fingerprints have been taken as prescribed in R6-6-1506 within 7 days of hire.</p> <p>➤ 46-141. Criminal record information checks; fingerprinting employees and applicants; definition</p> <p>Each license granted by the department of economic security or the department of child safety and each contract entered into between the department of economic security or the department of child safety and any contract provider for the provision of services to juveniles or vulnerable adults shall provide that, as a condition of employment, personnel who are employed by the licensee or contractor, whether paid or not, and who are required or allowed to provide services directly to juveniles or vulnerable adults shall have a valid fingerprint clearance card issued pursuant to section 41-1758.07 or shall apply for a fingerprint clearance card within seven working days of employment.</p> <p>➤ 41-1758.02. Fingerprint checks; registration</p> <p>The person, provider or agency shall submit a full set of fingerprints to the division for the purpose of obtaining a state and federal criminal history records check pursuant to section 41-1750 and Public Law 92-544. If the person can present a valid fingerprint clearance card or credible documentation that the person's application for a fingerprint clearance card is pending, the person, provider or agency is not required to submit another application for a fingerprint clearance card. The division may exchange this fingerprint data with the federal bureau of investigation.</p>
	Proof of Submission of Current Fingerprint Clearance Card OR Verification of Re-Fingerprinting Prior to	<p>Documentation showing that fingerprints have been taken as prescribed in R6-6-1506 and submitted. OR Proof that current Fingerprint Clearance Card has been verified.</p> <p>➤ 46-141. Criminal record information checks; fingerprinting employees</p>

Expiration		<p><u>and applicants; definition</u></p> <p>Each license granted by the department of economic security or the department of child safety and each contract entered into between the department of economic security or the department of child safety and any contract provider for the provision of services to juveniles or vulnerable adults shall provide that, as a condition of employment, personnel who are employed by the licensee or contractor, whether paid or not, and who are required or allowed to provide services directly to juveniles or vulnerable adults shall have a valid fingerprint clearance card issued pursuant to section 41-1758.07 or shall apply for a fingerprint clearance card within seven working days of employment.</p> <p>➤ 41-1758.02. <u>Fingerprint checks; registration</u></p> <p>The person, provider or agency shall submit a full set of fingerprints to the division for the purpose of obtaining a state and federal criminal history records check pursuant to section 41-1750 and Public Law 92-544. If the person can present a valid fingerprint clearance card or credible documentation that the person's application for a fingerprint clearance card is pending, the person, provider or agency is not required to submit another application for a fingerprint clearance card. The division may exchange this fingerprint data with the federal bureau of investigation.</p>
Criminal History Self Disclosure Affidavit (At time of Hire and Re-Fingerprinting)		<p>A completed declaration of criminal history as prescribed in R6-6-1504(B) (6) is required to be completed at time of hire and when re-fingerprinted. https://www.azdes.gov/InternetFiles/Reports/pdf/LCR-1034AFORNA.pdf</p>
Lawful Presence/Right to Work Verified		<p>An employee must show documentation to his/her employer to show their identity and authorization to work.</p>
Professional License (as applicable) *Cannot work until copy is in file.		<p>Copies of any applicable professional license or certification as prescribed in R6-6-1504(C).</p>
Direct Service Position Declaration Form		<p>The Direct Service Position Form (DDD-1727A) is available on the internet and can be accessed via the DES forms library. Please use the following link to access the form: https://www.azdes.gov/InternetFiles/InternetProgrammaticForms/doc/DD-1727AFORFF.doc</p>
Central Registry Background Check		<p>The Request for Central Registry Background Check Form (DDD-1703A) is available on the internet and can be accessed via the DES forms library. Please use the following link to access the form: https://www.azdes.gov/InternetFiles/InternetProgrammaticForms/doc/DD-1703AFORFF.doc</p>
Monthly Check OIG LEIE Clearance System		<p>Verification that The List of Excluded Individuals/Entities ("LEIE") is checked no less frequently than monthly to determine whether any staff have been excluded from participation in Federal health care programs by checking the following Federal database: http://oig.hhs.gov/exclusions/.</p>
Monthly Check SAM Clearance System		<p>Verification that The System for Award Management ("SAM") is checked no less frequently than monthly to determine whether any staff have been excluded from participation in Federal health care programs by checking the following Federal database: https://www.sam.gov/portal/public/SAM/.</p>

Required Within 90 Days of Employment & Prior to Working Alone or With Other Untrained Staff	Member Orientation* Within 14 Days of Hire	Written documentation showing that the individual providing service has received an orientation to the specific needs of each member served as provided by R6-6-1520(A)(1)(a).
	Current CPR Training	Written documentation of completion of a current Cardiopulmonary Resuscitation (CPR) certificate as provided by R6-6-1520(A)(1)(b).
	Current First Aid Training	Written documentation of current First-aid training as provided by R6-6-1520(A)(1)(c).
	Article 9 (Prohibitions)	Written documentation that each individual service provider and direct-care staff has reviewed Article 9, except as provided by R6-6-1521.
	Prevention and Support Certification (formerly called CIT) *If Applicable	Written documentation showing staff has completed training in prevention and support, formerly called client intervention techniques, as provided by R6-6-1520(C). This training is only required when 1 or more individuals have an approved BTP which identifies aggressive or assaultive target behavior.

HOME AND COMMUNITY BASED SERVICES

**Applies to: In-home Attendant Care, Hourly Habilitation, Respite, Homemaker Services
Habilitation (Daily or Hourly) in Individually Designed Living Arrangements and Developmental Homes**

Standard Timeframes	Hiring and Training Requirements	Further Explanation
FOR ALL HOME AND COMMUNITY BASED SERVICES (CERTIFICATION): See List of References on Page 2		
Completed During the Hiring Process AND Prior to Working	Date of Hire Documented in File	Written documentation of the date of hire for each direct-care staff.
	18+ Years of Age Verified	Proof that each employee is at least 18 years old is documented in the file.
	Qualifications Verified	Written documentation staff has the experience required per Article 15.
	3 References Verified	Copies of three references for staff as provided by R6-6-1504(D).
	Current Driver's License *Staff cannot drive until verification is received.	A copy of a current valid driver's license, valid registration, and current liability insurance coverage as required by A.R.S. Title 28 if providing transportation for members.
	Proof of Submission of Completed Application For a Fingerprint Clearance Card Within 7 Days of Hire OR Documentation that Current Card was Verified	<p>Copy of fingerprint clearance letters for each individual as provided by R6-6-1506(B). Or Documentation showing that fingerprints have been taken as prescribed in R6-6-1506 within 7 days of hire.</p> <p>➤ 46-141. Criminal record information checks; fingerprinting employees and applicants; definition</p> <p>Each license granted by the department of economic security or the department of child safety and each contract entered into between the department of economic security or the department of child safety and any contract provider for the provision of services to juveniles or vulnerable adults shall provide that, as a condition of employment, personnel who are employed by the licensee or contractor, whether paid or not, and who are required or allowed to provide services directly to juveniles or vulnerable adults shall have a valid fingerprint clearance card issued pursuant to section 41-1758.07 or shall apply for a fingerprint clearance card within seven working days of employment.</p> <p>➤ 41-1758.02. Fingerprint checks; registration</p> <p>The person, provider or agency shall submit a full set of fingerprints to the division for the purpose of obtaining a state and federal criminal history records check pursuant to section 41-1750 and Public Law 92-544. If the person can present a valid fingerprint clearance card or credible documentation that the person's application for a fingerprint clearance card is pending, the person, provider or agency is not required to submit another application for a fingerprint clearance card. The division may exchange this fingerprint data with the federal bureau of investigation.</p>
Proof of Submission of Current Fingerprint	Documentation showing that fingerprints have been taken as prescribed in R6-6-1506 and submitted.	

<p>Clearance Card OR Verification of Re-Fingerprinting Prior to Expiration</p>	<p>OR Proof that current Fingerprint Clearance Card has been verified.</p> <p>➤ 46-141. <u>Criminal record information checks; fingerprinting employees and applicants; definition</u> Each license granted by the department of economic security or the department of child safety and each contract entered into between the department of economic security or the department of child safety and any contract provider for the provision of services to juveniles or vulnerable adults shall provide that, as a condition of employment, personnel who are employed by the licensee or contractor, whether paid or not, and who are required or allowed to provide services directly to juveniles or vulnerable adults shall have a valid fingerprint clearance card issued pursuant to section 41-1758.07 or shall apply for a fingerprint clearance card within seven working days of employment.</p> <p>➤ 41-1758.02. <u>Fingerprint checks; registration</u> The person, provider or agency shall submit a full set of fingerprints to the division for the purpose of obtaining a state and federal criminal history records check pursuant to section 41-1750 and Public Law 92-544. If the person can present a valid fingerprint clearance card or credible documentation that the person's application for a fingerprint clearance card is pending, the person, provider or agency is not required to submit another application for a fingerprint clearance card. The division may exchange this fingerprint data with the federal bureau of investigation.</p>
<p>Criminal History Self Disclosure Affidavit (At time of Hire and Re-Fingerprinting)</p>	<p>A completed declaration of criminal history as prescribed in R6-6-1504(B) (6). Is required to be completed at time of Hire and when re-fingerprinted. https://www.azdes.gov/InternetFiles/Reports/pdf/LCR-1034AFORNA.pdf</p>
<p>Lawful Presence/Right to Work Verified</p>	<p>An employee must show documentation to his/her employer to show their identity and authorization to work.</p>
<p>Professional License (as applicable) *Cannot work until copy is in file</p>	<p>Copies of any applicable professional license or certification as prescribed in R6-6-1504(C).</p>
<p>Direct Service Position Declaration Form</p>	<p>The Direct Service Position Form (DDD-1727A) is available on the internet and can be accessed via the DES forms library. Please use the following link to access the form: https://www.azdes.gov/InternetFiles/InternetProgrammaticForms/doc/DDD-1727AFORFF.doc</p>
<p>Central Registry Background Check</p>	<p>The Request for Central Registry Background Check Form (DDD-1703A) is available on the internet and can be accessed via the DES forms library. Please use the following link to access the form: https://www.azdes.gov/InternetFiles/InternetProgrammaticForms/doc/DDD-1703AFORFF.doc</p>
<p>Monthly Check OIG LEIE Clearance System</p>	<p>Verification that The List of Excluded Individuals/Entities ("LEIE") is checked no less frequently than monthly to determine whether any staff have been excluded from participation in Federal health care programs by checking the following Federal database: http://oig.hhs.gov/exclusions/.</p>
<p>Monthly Check SAM Clearance System</p>	<p>Verification that The System for Award Management ("SAM") is checked no less frequently than monthly to determine whether any staff have been excluded from participation in Federal health care programs by checking</p>

		the following Federal database: https://www.sam.gov/portal/public/SAM/ .
Required Within 90 Days of Employment AND Prior to Working Alone OR With Other Untrained Staff	Member Orientation * First Day of Service Delivery	Written documentation showing that the individual providing service has received an orientation to the specific needs of each member served as provided by R6-6-1520(A)(1)(a).
	Current CPR Training	Written documentation of completion of a current Cardiopulmonary Resuscitation (CPR) certificate as provided by R6-6-1520(A)(1)(b).
	Current First Aid Training	Written documentation of current First-aid training as provided by R6-6-1520(A)(1)(c).
	Article 9 (Prohibitions)	Written documentation that each individual service provider and direct-care staff has reviewed Article 9, except as provided by R6-6-1521.
	Prevention and Support Certification (formerly called CIT) *If Applicable	Written documentation showing staff has completed training in prevention and support, formerly called client intervention techniques, as provided by R6-6-1520(C). This training is only required when 1 or more individuals have an approved BTP which identifies aggressive or assaultive target behavior.

SPECIFIC TO ATTENDANT CARE AND HOMEMAKER SERVICES : AHCCCS AMPM Chapter 1200

Required Within 90 Days of Hire	Direct Care Worker Training (ATC and HSK ONLY) *After 90 days Cannot Work	All DCW staff must meet the DCW requirements within 90 days of hire. It is permissible for DCWs to provide care during the 90 day training period.
		If the DCW staff was providing services prior to the October 2012 implementation date, they do not need to complete the new requirements as long as they remain at the same agency and have provided direct care services, or similar work experience within the past two (2) years.
		If the DCW staff leaves the agency and is hired by another agency, the training and testing requirements apply.
		A caregiver who is a Registered Nurse, Licensed Practical Nurse or Certified Nursing Assistant per A.R.S. 32, Chapter 15 is exempt from the DCW training and testing requirements. In order for a CNA to train DCWs however, s/he must take the tests and pass at the level required for trainers.
		Level I – Introduction to and Fundamentals of Caregiving <ul style="list-style-type: none"> Level I (Fundamentals) must be completed by all DCWs, including family caregivers, prior to providing direct care services to ALTCs members (except as noted in 1240 A).
		Level II – Specialized Modules (Developmental Disabilities or Aging and Physical Disabilities.) <ul style="list-style-type: none"> Level II must be successfully completed by all attendants and personal care providers (excluding family caregivers who provide care to family members only).
		Direct Care Workers training and testing are not applicable to the Self Directed Attendant Care Services (SDAC) or to the DDD Independent Caregivers employed through the DES/DDD.
DCWs who solely provide respite care are not currently required to meet the new training and testing standards. That being said, it is advisable for DCW agencies to consider making this a requirement due to the fact that the provision of respite care is closely aligned with the provision of attendant care and homemaker services.		