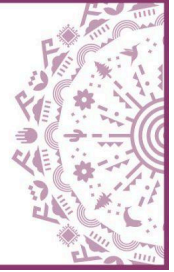




# Division of Aging & Adult Services

## State Unit on Aging Policy



**Subject:** Family Caregiver Support Program  
**Policy Chapter** 3600  
**Effective Date:** 07/1/2025  
**Revision Number:** 0

### Family Caregiver Support Program

#### I. POLICY STATEMENT

This policy provides an outline of the Division of Aging and Adult Services (DAAS) operational policies, procedures, and reporting requirements for the Family Caregiver Support Program (FCSP).

This policy is subject to change as additional information and regulations are received from the U.S. Department of Health and Human Services (HHS).

#### II. APPLICABILITY

- A. Arizona Department of Economic Security (ADES) employees;
- B. Area Agencies on Aging (AAAs); and
- C. Subcontractors that provide FCSP services.

#### III. AUTHORITY

<a href="#">Older Americans Act (OAA)</a>	Pub L. 116-131
<a href="#">US Code (U.S.C)</a>	42 U.S.C. Chapter 35 Subchapter III, Part E
<a href="#">Code of Federal Regulations (C.F.R.)</a>	45 CFR part § 1321 and §1322
<a href="#">RAISE Family Caregivers Act</a>	Pub L. 115-119

<a href="#">Supporting Grandparents Raising Grandchildren Act</a>	Pub. L. 115-196
<a href="#">Americans with Disabilities Act of 1990</a>	42 U.S.C. 12102
<a href="#">A.R.S. § 46-182</a>	Section on Aging; Section powers and duties; costs.
<a href="#">A.R.S. Title 46 Chapter 1, Article 8</a>	Arizona Older Americans Act-Nonmedical Home and Community Based Care Services

#### IV. DEFINITIONS

Activities of Daily Living (ADL): Activities such as bathing, dressing, eating, toileting, transferring, and walking, including proper lifting techniques.

Adult Day Care/Health Care Centers: Supervised planned care and health-related services to adults in a group setting during a portion of a 24-hour day.

Arizona Standardized Client Assessment Plan (ASCAP): A tool designed to identify ADLs, highlight the activities the Client requires assistance with, and determine the degree of need for assistance. The ASCAP captures demographic, social, mental, and other health-related information on the Client, and becomes the primary planning document for the Client and the case manager.

Assessment: An evaluation completed during an interview with the Family Caregiver and care recipient to determine eligibility for Case-Managed FCSP services.

Caregiver Assessment Tool (CAT): Assessment tool used to evaluate the primary caregiver's need and eligibility for Respite Care services and Supplemental Services.

Caregiver Registration Form (CRF): Presented to attendees of FCSP events including Public Information Sessions, Support Groups, and others for data collection and to ensure effective programming for Family Caregivers.

Caregiver Training: A service that provides Family Caregivers with instruction to improve knowledge and performance of specific skills relating to their caregiving roles and responsibilities as described in the Caregiver Training Scope of Work. Training may include use of evidence-based programs, be conducted in-person or on-line, and be provided in individual or group settings.

Case-Managed/Case Management: Assessment and development of an individualized service plan through which the eligibility of individuals is determined, appropriate services or benefits are identified, planned, reported, monitored or terminated, and follow-up is provided if and when appropriate.

Child/Children: An individual under the age of 18.

Client: A Family Caregiver who is seeking or receiving FCSP services.

Community Education and Outreach: Activities that inform the public about the availability of FCSP services and are tailored to reach the program's target populations. Examples of these activities include presentations, workshops, health fairs and community events, radio or television shows, printed materials, and social media posts. May also be referred to as Public Information Services.

Consumer-Directed Services: Allows a Client to select a provider of their choosing, exclusions apply.

Disability: A physical or mental impairment that substantially limits a major life activity, has a record of such an impairment, or is regarded as having such an impairment as defined in section 3 of the Americans with Disabilities Act of 1990 (42 U.S.C. 12102).

Economic Need: Need resulting from an income level at or below the Federal Poverty Level and as further defined by state and area plans based on local and individual factors, including geography and expenses.

Emergency Respite Care: A need for an extended break due to a Family Caregiver's intervening circumstance, such as emotional stress, hospitalization, or health recovery. May be provided in-home or out-of-home.

Family Caregiver: Adult family members, or other individuals, who provide in-home and community care, without payment or a professional agreement, to Older Adults, or individuals with Alzheimer's disease or a related disorder with neurological and organic brain dysfunction. This includes Older Relative Caregivers.

Family Caregiver Coordinator: Professionals hired by AAAs who are regionally responsible for coordinating FCSP including the program's services and resources, participating in quarterly meetings, and quarterly reporting to the State Unit on Aging (SUA).

Immediate Family Members: Spouses, domestic partners, parents, grandparents, children of any age (including biological, adopted, half, and step), grandchildren, siblings, and in-laws (mother, father, brother, sister, daughter, and son).

Individual Counseling: A service performed by licensed or credentialed counselors

trained to assist Family Caregivers and Older Relative Caregivers in those areas in which they provide support, including health, nutrition, complex medical care and financial literacy, and in making decisions and solving problems relating to their caregiving roles.

Information and Assistance: Personalized approach that helps Clients by identifying their needs, informing them of community-based supports, and aiding them with accessing services. This includes making referrals, warm transfers, helping with paperwork and/or applications, and to the extent practicable, verifying that the Client's needs were met.

Legal Relationship: Legal custody, adoption, guardianship, or raising the Child informally.

Older Adult: An individual age 60+, or an older Native American as defined by the individual's Tribe.

Older Relative Caregiver: An adult family member (by blood, marriage or adoption), age 55 or older, who lives with and is the primary provider of in-home and community care, without payment or a professional agreement, to a Child or an individual with a Disability.

Pre-Screening: An initial screening conducted by the AAA, or its contracted provider, to determine if a Client may be eligible for FCSP services.

Respite Care: Temporary relief or rest to informal caregivers and Older Relative Caregivers from the demands and stressors of providing unpaid care in the home, helping to avoid costly placement of the care recipient in a care facility.

Scopes of Work (SOW): Agreement between ADES and the Area Agencies on Aging (AAA) to develop, implement, and complete OAA funded services to the target populations in the AAA's planned service area.

Severe Disability: A chronic Disability attributable to mental and/or physical impairment of an individual that is likely to continue indefinitely and results in substantial functional limitation in 2 or more of the following major life activities: self-care, receptive and expressive language, learning, mobility, self-direction, capacity for independent living, and economic self-sufficiency.

Short Form Intake Document (SFID): An Assessment instrument designed as an intake document. Used for caregivers requiring service authorizations for 90 days or less for services such as: home delivered meals, Respite Care, Supplemental Services, and Case Management.

Social Need: Necessity caused by noneconomic factors, such as physical and mental disabilities, language barriers, and cultural, social, or geographic isolation outlined in 45

CFR part §1321.3 that restrict the ability of an individual to perform normal daily tasks or threatens the capacity of the individual to live independently.

Substantial Human Assistance: Verbal reminding, physical cueing, or supervision needed while completing ADLs or IADLS and is typically completed by a caregiver.

Supplemental Services: Additional aid that complements the care Family Caregivers provide which includes assistive technology, consumable supplies, home modifications and repairs, legal and/or financial consultation, homemaker, chore or personal care, transportation, nutrition and others as determined by an Assessment.

Support Groups: Peer counseling sessions led by a trained professional, held on a regularly scheduled basis, and provide a forum for Family Caregivers to share experiences, develop a support system, and ease the stress of caregiving.

Volunteer: An uncompensated individual who provides services or support on behalf of older individuals and aids the AAAs in fulfilling the mission of the OAA.

## **V. STANDARDS**

### **A. Overview**

1. The Family Caregiver Support Program (FCSP) promotes the health and well being of Family Caregivers whose efforts enable Older Adults, Children, and individuals with disabilities to remain in their homes and communities, avoiding or delaying the need for institutional or foster care.
2. The FCSP aids Family Caregivers by providing access to the following:
  - a. Assistance to Family Caregivers in gaining access to services through:
    - i. Information and Assistance; and
    - ii. Case Management.
  - b. Community Education and Outreach;
  - c. Support Groups;
  - d. Caregiver Training;
  - e. Case-Managed services including:

- i. Individual Counseling;
    - ii. Respite Care, on a limited basis; and
    - iii. Supplemental Services, on a limited basis.
  - f. Alternative solutions and resources to meet a Family Caregiver's needs.
3. The State Unit on Aging (SUA) administers the FCSP by providing funding and direction to the Area Agencies on Aging (AAAs).
4. The FCSP prioritizes Family Caregivers who:
  - a. Are Older Adults assessed as being in the greatest Social or Economic Need, with a focus on those in Economic Need;
  - b. Provide care for individuals with Alzheimer's disease or related disorders with neurological and organic brain dysfunction; and
  - c. Are Older Relative Caregivers of Children or adults with a Severe Disability.
5. FCSP services are subject to availability of funding.

## **B. Eligibility Requirements**

1. The following Clients are eligible to receive FCSP services:
  - a. A Family Caregiver who is providing care to either:
    - i. An Older Adult; or
    - ii. An individual of any age with Alzheimer's disease or related disorders with neurological and organic brain dysfunction.
  - b. An Older Relative Caregiver who is providing care to either:
    - i. A Child under the age of 18, where the Older Relative Caregiver must:
      - A. Not be the Child's biological or adoptive parent. This does not include adoptive parents who are

also the Child's grandparents;

- B. Be related to the Child by blood, marriage, or adoption;
- C. Act as the primary caregiver because the biological or adoptive parents are unable or unwilling to serve as the primary caregivers of the Child; and
- D. Have a Legal Relationship to the Child.

ii. An adult between the ages of 18-59 with a Disability.

c. To qualify for Individual Counseling, Respite Care, and Supplemental Services, the Family Caregiver must:

i. Be assessed using the Caregiver Assessment Tool (CAT). The CAT must conclude:

- A. The Family Caregiver is at Moderate to High Risk; and
- B. The Supplemental Services to be provided (if applicable) enhances the Family Caregiver's ability to provide care and the care recipient's ability to remain independent.

ii. Provide care to:

- A. A Child; or
- B. An adult who requires one of the following, as determined using the Arizona Standardized Client Assessment Plan (ASCAP):
  - 1. Substantial Human Assistance with 2 Activities of Daily Living (ADLs); or
  - 2. Substantial supervision due to a cognitive or other mental impairment that causes

the individual to pose a serious health or safety hazard to themselves or others.

**C. Process to Obtain Services:**

1. AAAs will be available for Clients seeking FCSP services, at a minimum, in the following ways:
  - a. By phone, in-person, or via web-based means of communication. The AAA must ensure their phone number, address, and website are up-to-date in the following places: to find out about available resources;
    - i. Area Agency on Aging Locations landing page on the [ADES website](#); and
    - ii. Community Education and Outreach activities that provide information regarding FCSP.
2. AAAs will complete a Pre-Screening with the Clients. The AAA will support Clients by completing the Pre-Screening in the most convenient way, which may include in-person, over the phone, or virtually.
3. The AAA may refer eligible Clients to the following services, where Clients must be asked to complete a Caregiver Registration Form (CRF) at the time of service:
  - a. Caregiver Training classes; and
  - b. Peer counseling or Support Groups.
4. If the AAA believes the Client may be eligible for Case-Managed services listed in V.A.2.e, a Case Manager will assess the Client's eligibility within 7 business days of receiving the case assignment by:
  - a. Completing the appropriate Assessment based on the following criteria:
    - i. The CAT is required with the flexibility to allow for:
      - A. The Short Form Intake Document (SFID) may be used instead of the CAT in the following situations:
        1. An Older Relative Caregiver is providing care for a Child; or



- ii. Individuals who have Power of Attorney or guardianship of the care recipient; and
- iii. Individuals who are under 18 years old.

#### **E. Redetermination of Eligibility**

- 1. Clients are reassessed for eligibility every 12 months or any time a change occurs that may impact eligibility or the need for services the Client is receiving.

### **VI. Procedures**

#### **A. Responsibilities**

- 1. SUA will:
  - a. Contract with AAAs to provide FCSP services;
  - b. Develop a plan for each of the services listed in V.A.2 to be available in each region of the state, subject to availability of funds;
  - c. Develop policies and procedures to support AAAs in facilitating coordination between the FCSP, Tribal organizations, and Title VI programs;
  - d. Create a streamlined process to provide AAAs with prior approval for contracts and commercial relationships that AAAs wish to establish;
  - e. Provide advice, training, and technical assistance for the FCSP program to include the:
    - i. Most recent updates to the federal rules and regulations, including the Older Americans Act (OAA);
    - ii. Necessary forms described in V.C of this policy; and
    - iii. Reporting forms and cadence to complement the Older Americans Act Performance System (OAAPS).
  - f. Carry out HHS reporting requirements for the FCSP program; and
  - g. Monitor AAAs to ensure compliance with:
    - i. SUA program policies and procedures, contract requirements, and ADES Scopes of Work;
    - ii. Federal regulations;

- iii. State laws;
- iv. Data collection and reporting requirements;
- v. Coordination with Tribal organizations and Title VI programs;
- vi. Quality and effectiveness in program activities and service delivery;
- vii. Staff training and licensing requirements; and
- viii. Any additional guidance provided by the SUA and/or HHS.

2. AAAs will:

- a. Align all program policies and procedures with the most up to date federal rules and regulations, SUA policies, state, county, tribal, and local laws and ordinances, and HHS guidance;
- b. Adhere to fingerprinting and criminal background check requirements in VI.G of this policy;
- c. Establish procedures for voluntary contributions that meet the guidelines in [DAAS Service Contributions Policy](#);
- d. Participate in FCSP meetings as scheduled by the SUA;
- e. Provide the full range of FCSP services by:
  - i. Adhering to SUA service requirements in the applicable ADES Scope(s) of Work for the service being provided;
  - ii. Coordinating with other community agencies and voluntary organizations that offer supportive services to Family Caregivers; and
  - iii. Delivering Case Management services in accordance with DAAS Case Management Policy.
- f. Ensure that evidence of income, a means test, or cost sharing is not required to determine eligibility for FCSP services;
- g. Verify that Caregiver trainers meet education and certification requirements;
- h. Fulfill reporting requirements assigned to the AAAs in VI.C.2.; and

- i. Appoint a Family Caregiver Coordinator to perform the duties in VI.A.3 of this policy.
3. Family Caregiver Coordinator will:
  - a. Ensure that all FCSP service authorizations in the Division of Aging and Adult Reporting System (DAARS) are current, and close expired service authorizations, when appropriate;
  - b. Coordinate activities within their regional service areas to support, educate, and provide access to services for Family Caregivers;
  - c. Complete and submit quarterly reports to DAAS;
  - d. Attend meetings with DAAS as needed to provide updates for the following categories:
    - i. Activities;
    - ii. Units and expenditures;
    - iii. Waitlists;
    - iv. Report out on area plans; and
    - v. Others as identified by the SUA.
  - e. Resolve issues or concerns resulting from FSCP evaluations.

**B. Systems, Software, and Technology**

1. The following systems must be used to meet reporting requirements:
  - a. OAAPS by the SUA; and
  - b. DAARS by the AAAs.

**C. Reporting**

1. SUA must follow all HHS requirements for the State Performance Report (SPR) and OAAPS reports.
2. AAA must:
  - a. Complete the Family Caregiver Support Program Quarterly Report and submit to DAAS as defined within contractual requirements;
  - b. Enter FCSP Program Data into DAARS;

- c. Follow all guidance and training provided by the SUA on required reporting.

#### **D. Program File Management and Retention**

- 1. Records Management:
  - a. AAAs and subcontractors must maintain FCSP program records in paper or electronic format.
  - b. All records, regardless of their format, must be maintained in a secure manner to protect the contents from breach, theft, or misuse. This includes:
    - i. Maintaining paper documentation in locked files; and
    - ii. Securing electronic records.

#### **DI. Privacy, Confidentiality, and Disclosure**

- 1. Protection and release of Confidential Information:
  - a. The transmission of Personally Identifiable Information (PII) and Protected Health Information (PHI) for any Client must be transmitted using secure means such as encryption to ensure the information is not accessed by unauthorized individuals.
  - b. Disclosure of PII may only be made with the informed consent of the Client or their legal representative, unless required by law or court order, for program monitoring by authorized agencies.
- 2. Address Confidentiality Program:
  - a. AAA employees and subcontractors must refer to the [ADES Address Confidentiality Program \(ACP\) Policy](#) and the DAAS ACP Policy if a Client states that they are a participant in the Address Confidentiality Program.
  - b. If the Client is an ACP Participant, the substitute address must be accepted on all application material required for the program.

#### **DII. Conflict of Interest**

- 1. AAA and subcontractors must abide by policies and guidance regarding Conflicts of Interest developed by SUA and must comply with SUA's periodic review of programs for COI.

## **G. Fingerprinting and Criminal Background Checks**

1. AAA must ensure that subcontractors comply with the following:
  - a. A fingerprint-based criminal background check must be completed at the time of hire or as a result of reassignment after hire, on employees and Volunteers who have direct contact with juveniles or vulnerable adults including those who are mentally disabled, frail, or have a chronic disease that puts them at risk for abuse (see [A.R.S. § 46-141](#)). See also [DAAS Administrative Mandates Policy](#).
2. A fingerprint based criminal background check is not required for Consumer-Directed Care providers, but a Family Caregiver may request one for their provider of choice, and:
  - a. The Case Manager will ensure that the AAA performs the background check as requested.

## **H. Complaints, Grievances, and Appeals**

1. Each AAA will develop and implement a process to:
  - a. Investigate and resolve complaints from Clients and other outside parties against AAA and subcontractors per [DAAS Administrative Mandates Policy](#); and
  - b. Verify that Clients receive a copy of the appeals process.

Equal Opportunity Employer / Program • Auxiliary aids and services are available upon request to individuals with disabilities • To request this document in alternative format or for further information about this policy, contact the Division of Aging and Adult Services at 602-542-4446; TTY/TDD Services 7-1-1